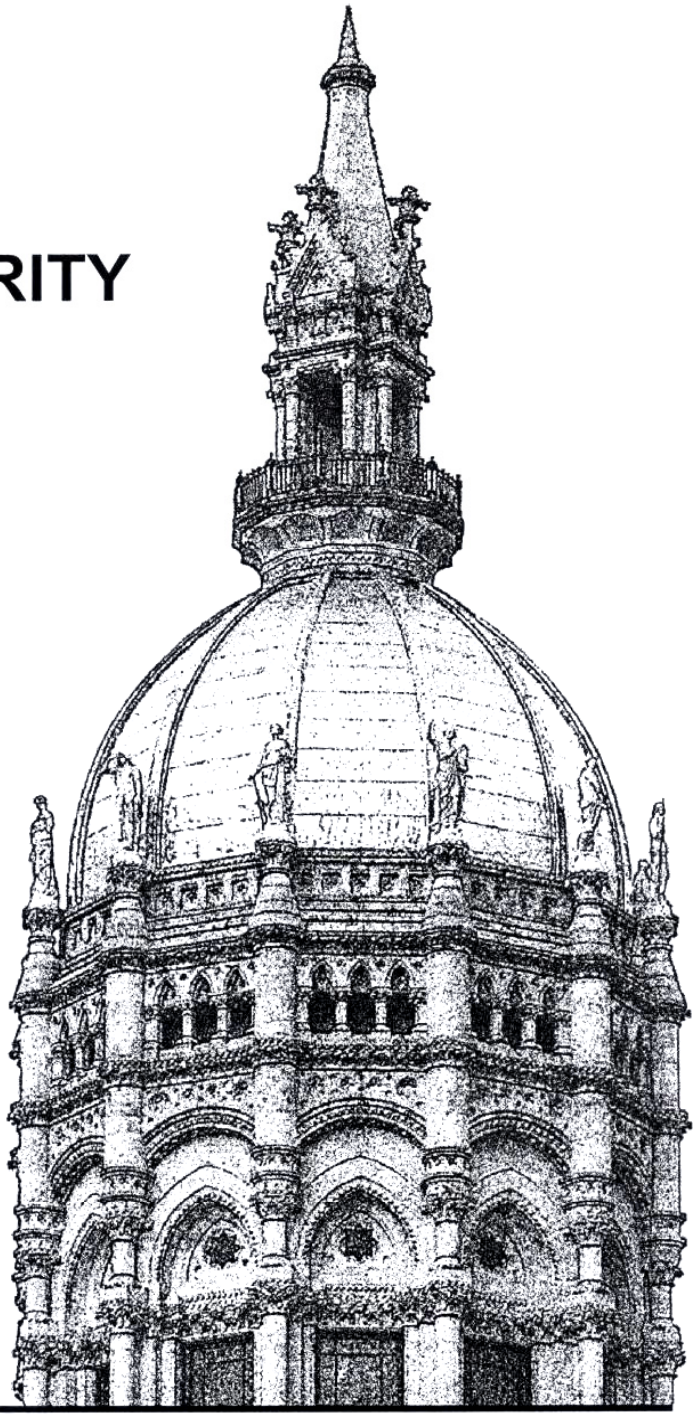
HOMELAND SECURITY IN CONNECTICUT

DECEMBER 2007



PRI

Legislative Program Review and Investigations Committee

Connecticut General Assembly

CONNECTICUT GENERAL ASSEMBLY
LEGISLATIVE PROGRAM REVIEW AND INVESTIGATIONS COMMITTEE

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LEGISLATIVE PROGRAM REVIEW
& INVESTIGATIONS COMMITTEE

Homeland Security in Connecticut

DECEMBER 2007

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Executive Summary

HOMELAND SECURITY IN CONNECTICUT

In April 2007, the Legislative Program Review and Investigations Committee voted to undertake a study of *Homeland Security in Connecticut*. The focus of the study was on the actions taken by the state Department of Emergency Management and Homeland Security (DEMHS) and its predecessor agencies to improve the status of the state's homeland security and related emergency management efforts. Specifically, the study focused on recent assessment, planning, and implementation activities related to improving the state's ability to prevent, protect against, respond to, and recover from terrorist attacks.

What precisely constitutes homeland security and how the nation should go about it has developed over a very short period of time and continues to evolve. Much of the direction and funding received by DEMHS for this function comes from the federal government. As such, it is important to note that several state endeavors depend on the cooperation of or direction from agencies and organizations not under the direct control of DEMHS.

Overall, Connecticut has made progress in the area of homeland security and is better prepared than it was in the autumn of 2001. For example, federal, state, and local law enforcement agencies are now better connected and informed through a statewide central resource that collects, analyzes, and disseminates criminal and terrorism-related intelligence. A multi-jurisdictional law enforcement task force on terrorism serves to streamline investigations and responses to terrorism-related allegations. Critical infrastructure identification and prioritization are on-going, while assessment and protection efforts are being implemented. Further, a significant amount of DEMHS attention is focused on improving the redundancy and resiliency of Connecticut's emergency communications systems, though true interoperability is several years away.

Although DEMHS has achieved substantial progress since its inception in 2005, the following program review study conclusions suggest the need for further development and improvement in certain areas:

- It is not clear how active DEMHS will be in performing critical infrastructure assessments, and ensuring mitigation activities are performed and business continuity plans are in place for the state's most critical assets.

- Most of the basic objectives related to establishing an intelligence center in Connecticut have been met. However, certain administrative matters such as staffing levels, training, reporting structures, and internal auditing mechanisms need to be addressed.

- Several initiatives, as outlined in the statewide communications interoperability plan, are needed to provide a coordinated approach to resolving long-standing inadequacies in public safety communications systems.

- DEMHS does not provide a unified reporting system so that stakeholders, policy makers, or the general public can know the status of its goals. Some DEMHS goals tend to be short-term and/or do not convey a vision of where the department wants to be in the future.

Additional enhancements that would better ensure the prevention, protection, and response capabilities of the state are needed. Many improvements have already been identified by DEMHS and are in various stages of implementation. The aim of the program review recommendations, listed below, is the refinement of the systems in place.

RECOMMENDATIONS

1. **DEMHS needs to clearly document the critical infrastructure eligibility guidelines and provide that information to each municipality.**

2. **DEMHS should encourage greater participation by municipalities in the infrastructure program by reinforcing with municipal leaders the importance of the program and the impact it has on the funding of regional priorities. In addition, DEMHS should investigate the feasibility of providing an electronic means for municipalities to access and update infrastructure information through a secure internet portal.**

3. **DEMHS should investigate the use of other validated infrastructure assessment tools to better accommodate the categorizing, analyzing, and reporting needs of the department.**

4. **To improve Connecticut's infrastructure protection efforts and to better understand any barriers to reducing vulnerabilities in certain business sectors, DEMHS should:**

    a. **develop a specific implementation plan that outlines DEMHS intentions, goals, and responsibilities in assessing and mitigating vulnerabilities as well as in tracking the status of public and private sector security efforts at Connecticut's most critical infrastructure sites;**

    b. **track core activity measures, such as, but not limited to, the number of assets, systems, and networks by sector, and the number of completed vulnerability assessments;**

c. **develop a system to capture information about the usefulness of facility assessments performed by the department and the extent to which mitigating recommendations have been implemented by both public and private facility owners, including improvements made through grants awarded to ferry, port and transit operators in the state; other measures to consider include percentage of high-risk assets that have developed protective strategies, percentage that have implemented mitigation strategies, and percentage that have continuity of operations plans.**

d. **report results of b and c in an aggregated and non-identifiable format in DEMHS' annual report; and**

e. **convene a task force composed of coordinating council members, public safety officials, private sector facility owners, and other appropriate stakeholders to investigate the need for the regulation of security improvements or the development of incentives for certain critical infrastructure facilities, such as those that handle extraordinarily hazardous substances, transportation facilities, or other critical infrastructure.**

5. **In conjunction with the risk-based funding methodology, DEMHS should consider adjusting the regional funding formula to include a factor or factors that take(s) into account the preparedness needs of each region as initial regional organizational objectives are met. In developing the information about preparedness needs, DEMHS should conduct a comprehensive all-hazard risk and vulnerability assessment of large scale disasters and catastrophes that can plausibly be expected to occur in Connecticut to assist in identifying the individual needs of regions.**

6. **Similar to the recommendation above, DEMHS should develop a system to capture information about the usefulness of the buffer zone protection program assessments performed by the department and the extent to which mitigating recommendations have been implemented and report the results in an aggregated format in DEMHS' annual report.**

7. **To formalize appointments and ensure continued cooperation, the appointment of ILOs and RILOs shall be codified into statute. Furthermore, the number of ILO appointments should be relative to the size or population of the community.**

8. **Formal clarification regarding the reporting structure for the state liaison intelligence coordinator position is needed.**

9. **DEMHS shall further expand its private sector outreach efforts particularly to small businesses and security personnel of major critical infrastructures.**

10. **Basic statistical information regarding the Tips Hotline should be generated (i.e., the number of calls received and the outcome of the calls) and provided to the members of the CTIC policy board on a periodic basis. In addition, the annual number of hotline calls received should be reported on the DEMHS website and its other various public relations materials**

11. **Whenever feasible and appropriate, CTIC personnel should have more involvement in the joint tabletop, functional, and full-scale homeland security exercises throughout the state. Furthermore, as an administrative matter, CTIC should track the participation rate and training level of all of its personnel particularly for CTIC sponsored events.**

12. **The CTIC policy board should establish a mechanism for ongoing monitoring of the center's operations, procedures, and policies to ensure that all information and intelligence needs of the shareholders are being met. The evaluation mechanism should also provide CTIC product users feedback opportunities.**

13. **Connecticut should have a continued presence on the JTTF with additional assignments when staff resources are available.**

14. **A mass notification system, such as Reverse 911, should be a required homeland security fund purchase for municipalities. DEMHS should work with OSET to ensure the cost to towns for databases is minimal. DEMHS, along with DOIT, should have a role in managing the mass notification system contract and tracking who has acquired it.**

15. **A DEMHS public information officer position should be authorized and filled. Public service announcements and campaigns should be developed and revamped when necessary.**

16. **DEMHS should, when revising its state homeland security strategies and internal strategies, ensure that the goal statements provide a clear picture of what the department is trying to achieve and make certain all objectives have dates of accomplishment and meaningful performance measures. In addition, on at least an annual basis, DEMHS needs to develop a unified goals document that communicates the status of its goals and the results of its performance to the Emergency Management Homeland Security Coordinating Council and the legislature.**

17. **The Department of Emergency Management and Homeland Security with the cooperation of DPS shall implement the provisions of C.G.S. Section 28-1a (e) relating to the creation of interagency memorandums of understanding.**

18. **DEMHS shall notify the appropriations committee and the appropriate committees of cognizance in a timely manner of the status of federal grant funding when grant awards are less than what the department had applied for.**

19. **DEMHS, through a sub-committee of the coordinating council, should develop a plan to address the need for an alternative emergency operations center (EOC) no later than January 2009. In particular, the plan should outline all necessary EOC specifications and requirements and whether the alternatives currently being considered (e.g., mobile command center, Rentschler, Southbury) are viable and reasonable options. Once site requirements are determined, DEMHS, in conjunction with DPW, should identify potential alternative methods and/or locations available for the EOC.**

Introduction

HOMELAND SECURITY IN CONNECTICUT

Connecticut has had an emergency response function and personnel dedicated to this purpose for many years. However, the mission of emergency management agencies today is much broader than the mission given the predecessor civil defense agencies of the 1950s and 60s.

Historically, preparing and planning for emergencies typically begins with the identification of the disasters that have occurred in the community in the past. These are the known and most probable hazards or threats. In Connecticut, natural hazards pose the most likely threats including floods, severe thunderstorms, hurricanes, tornadoes, ice storms, winter storms, blizzards, and coastal storms. However, the events of September 11, 2001, forced federal, state, and local governments to redirect their focus on preparing for and responding to terrorist incidents such as the use of chemical, biological, radiological, and nuclear weapons.

Connecticut's citizens were directly affected by the events of September 11 and the subsequent anthrax outbreaks later that fall. Those events have underscored that state and local governments have a central role to play in what has come to be called homeland security.

Study Scope

In April 2007, the Legislative Program Review and Investigations Committee voted to undertake a study of *Homeland Security in Connecticut*. The focus of this study was on the actions taken by the state Department of Emergency Management and Homeland Security (DEMHS) and its predecessor agencies to improve the status of the state's homeland security and related emergency management efforts. Specifically, the study focused on recent assessment, planning, and implementation activities related to improving the state's ability to prevent, protect against, respond to, and recover from terrorist attacks.

Based on committee feedback, resource considerations, and staff identification of significant issues, analysis was concentrated after the committee briefing in September on a few key areas including:

- the protection of critical infrastructure;
- intelligence sharing and terrorism investigations;
- interoperable communications; and
- other related management concerns that have been raised during the course of the review.

These areas are the focus of the committee findings and recommendations. While not the subject of the analysis in this report, a full description of DEMHS' emergency management functions is provided in Appendix B.

Background

Federal and state government responses to the terrorist attacks of September 11 included the following actions:

- The federal government undertook one of the largest reorganizations since World War II, creating a new agency dedicated to homeland security and establishing several major financial assistance programs for homeland security, bioterrorism and other public health threats, port security, and related purposes.
- A new homeland security strategy and program were quickly established within the Connecticut Department of Public Safety. Former Governor Rowland created the Division of Homeland Security to analyze security threats and recommend steps to strengthen the state's ability to protect residents.
- The General Assembly enacted a variety of legislation aimed at strengthening security and preparedness. During the first legislative session after the attacks, Connecticut established new penalties for terrorism and related crimes as well as other homeland security initiatives.

Since that time, presidential directives, federal legislation, and appropriations to states related to homeland security have placed a special emphasis on preparedness for terrorism. However, the catastrophic impact of Hurricane Katrina started a debate on whether federal, state, and local governments have overemphasized preparedness for terrorism at the expense of emergency preparedness for natural disasters.

Homeland security definition. While there is much debate over what exactly homeland security is or what it should be, the National Strategy for Homeland Security defines homeland security as:

"a concerted national effort to prevent terrorist attacks within the U.S., reduce America's vulnerability to terrorism, and minimize the damage and recover from attacks that do occur."[1]

The first national strategy on homeland security was issued by the federal government in 2002. In that document, homeland security was primarily about preventing and responding to terrorism. In October 2007, the current homeland security strategy was issued. The strategy outlined four new goals: prevent and disrupt terrorist attacks; protect the American people, our critical infrastructure, and key resources; respond to and recover from incidents that do occur; and continue to strengthen the foundation to ensure long-term success. However, in a post-Katrina environment, the scope of what constitutes homeland security has expanded. The 2007 strategy document acknowledges that "effective preparation for catastrophic natural disasters and man-made

[1] Domestic terrorism means activities that 1) involve acts dangerous to human life that are a violation of the criminal laws of the United States or of any State; 2) appear to be intended: a) to intimidate or coerce a civilian population; b) to influence the policy of a government by intimidation or coercion; or c) to affect the conduct of a government by mass destruction, assassination, or kidnapping; and 3) occur primarily within the territorial jurisdiction of the United States. US Code Title 18, Part I, Chapter 113b, § 2331

disasters, while not homeland security per se, can nevertheless increase the security of the Homeland."2

All-hazards approach. The concept of homeland security is often interwoven with the more broadly-scoped idea of "national preparedness." This idea includes any major disaster or emergency, including terrorist attacks, as part of "all-hazards" planning. In addition to the current national strategy document, this tendency is evidenced in various strategy, planning, and grant guidance documents.

For example, expectations of state and local governments can be found in Homeland Security Presidential Directives (HSPDs). Currently, there are 20 HSPDs, which according to the first HSPD, are intended to "record and communicate presidential decisions about the homeland security policies of the United States."

Specifically, HSPD-8, Directive on National Preparedness, issued by President George Bush on December 17, 2003, called for the establishment of a national all-hazards preparedness goal. The goal, published in December 2005, establishes a vision that emphasizes preparedness efforts for major events, "which include terrorist attacks, major disasters, and other emergencies."

In addition, the major federal grant programs for homeland security are designed to provide state and local governments with funds to prepare and protect against, as well as respond to and recover from, acts of terrorism, but many of the activities are in fact aimed toward dual-use purposes. Equipment and training may support routine or natural hazard threats as long as the funded activities also support capabilities that relate to terrorism. The funding formula for the bulk of homeland security grants, though, clearly relates to threats, vulnerabilities, and consequences of terrorist attacks.

It is important to note that an all-hazards approach does not literally mean being prepared for any and all hazards that might manifest themselves in a particular community or state. It means there are needs that commonly arise in many kinds of disasters, such as the need for emergency warning or mass evacuation, which can be addressed in a general approach and can provide the basis for responding to unexpected events. Regardless of the cause of a disaster, each state must create a basic framework for response and recovery from emergencies as well as develop appropriate measures to prevent or mitigate the impact of future incidents.

Connecticut's homeland security agency. In 2004, Connecticut recognized the importance of the state's responsibilities as they relate to both emergency management and homeland security with the passage of Public Act 04-219. By merging the functions of the state Division of Homeland Security, within the Department of Public Safety, and the Office of Emergency Management, within the Military Department, the legislation created an entirely new agency responsible for emergency management and homeland security – the Department of Emergency Management and Homeland Security (DEMHS).

2 U.S. Homeland Security Council, *National Strategy for Homeland Security*. Washington D.C., October 2007, p 3.

The expectation was that the creation of a single, centralized agency would streamline the organizational structure and provide a clear chain of command that would strengthen and integrate planning and coordination between emergency management and homeland security functions, while improving and expanding communications with federal, state and local entities. The integration of homeland security functions with emergency management presents several unique challenges and requirements including:

- sharing information and increasing coordination among law enforcement, emergency management, public health and the medical community;
- incorporating terrorism preparedness into state emergency plans;
- performing threat, risk, and needs assessments to identify resource requirements;
- conducting emergency exercises;
- establishing interagency taskforces and committees to develop and implement strategic plans; and
- providing specialized equipment and training for first responders.

Planning factors. Connecticut's location and infrastructure makes it unique for planning and preparedness activities. Situated between the large metropolitan areas of New York and Boston, Connecticut is a relatively small state with 169 municipalities and a total population of about 3.5 million residents. Approximately two-thirds of the state's population resides in coastal communities.

Although none of Connecticut's cities rank in the nation's top 120 cities in terms of population, the state is considered a transportation hub for southern New England. It has three major roadways (I-91, I-84, and I-95) including one that crosses the entire shoreline through three of the state's five largest cities (Stamford, Bridgeport, and New Haven). The southwestern portion of the state is regarded as part of "Metro-New York" and provides vital transportation infrastructure.

In addition to the AMTRAK and Metro North train systems, there are a number of other mass public transportation assets including Bradley International Airport and three major deepwater ports in Bridgeport, New Haven, and New London. Furthermore, while the state has no international iconic symbols such as the White House or the Statute of Liberty, it does have a concentration of military bases, defense contractors, a nuclear power plant, a large pharmaceutical complex, and two major casinos in southeast Connecticut.

Measuring Prevention and Methodology

Many of the activities discussed in this document relate to the prevention of and protection from terrorist events. In considering DEMHS performance of these functions, it is important to acknowledge the ultimate success of these endeavors depends on the cooperation of or direction from agencies and organizations not under the control of DEMHS. For example, the primary responsibility for collecting and disseminating intelligence, of which the Connecticut Intelligence

Center (CTIC) is a small part, and for identifying and apprehending terrorists, in which Joint Terrorism Task Force (JTTF) plays a role, rests with the Federal Bureau of Investigation (FBI) and other federal agencies.

Similarly, because 85 percent of the nation's critical infrastructure is in the hands of the private sector, businesses themselves have the principal duty to mitigate any vulnerability.[3] Government agencies clearly have an interest in supporting private sector risk management assessments and planning, and in addressing risks outside of individual properties. Except in very limited circumstances, federal grant programs do not provide for improvements to private sector facilities.4 In addition, the direction and funding provided by the federal government is somewhat skewed. While prevention remains a top national priority, a majority of the federal funding in homeland security goes toward response efforts.5 Some have commented that homeland security efforts are biased toward response because the system overall is not designed to focus on prevention.

A second factor to consider is both DEMHS and the homeland security function are fairly new. As described above, what precisely constitutes homeland security and how the nation should go about it has evolved over a very short period of time. In the view of many, too much concentration on terrorism reduces overall readiness.

Similarly, the state of Connecticut has changed its approach to homeland security. The first agency responsible for homeland security efforts was located in the Department of Public Safety and was subsequently merged with the Military Department's emergency management office to form a new agency. DEMHS has only been in existence since 2005 and does not have a long track record to evaluate. In fact, the department is still trying to consolidate its central functions and staff into one office, while simultaneously attempting to bolster its regional staff and capabilities. Furthermore, many of its goals involve creating new partnerships and cooperative arrangements that have to be viewed in the context of long-term change.

Finally, measuring prevention and protection directly is a very difficult thing to do.6 Often the question is asked, how do you prove something did not happen? In the case of homeland security, no entity is able to discern what the enemy has decided not to do or to count how many attacks were deterred or stopped. Nonetheless, being able to measure prevention is important for government accountability and for effectively directing investments. Waiting to measure protection activities once there is an attack may be too late.

One approach to measuring prevention activities is to use process measurement. Measuring effectiveness in this case means evaluating processes and systems that lead to preferred outcomes. This is one approach that the federal government has been refining through the development of target capabilities.7 The federal target capabilities list currently is used as a reference not a

3 U.S. Homeland Security Council, *National Strategy for Homeland Security*. Washington D.C., October 2007, p. 4.
4 For example, in certain cases privately owned transit facilities are eligible for homeland security funding.
5 Christopher Bellavita, What is Preventing Homeland Security, *Homeland Security Affairs*, Vol I Issue 1, Summer 2005
6 See for example, Rapheal Perl, *Combating Terrorism: The Challenge of Measuring Effectiveness,* Congressional Research Service, March 12, 2007, (Order Code RL 33160).
7 There are 37 core capabilities that all levels of government are expected to develop.

requirements document for states. The belief underpinning this approach is that if certain elements (e.g., people, processes, agreements) are in place then it will help to lead to the ultimate goal of preventing terrorist attacks.

Methodology. The approach taken in this review is to: 1) consider the process elements contained in homeland security literature, such as the U.S. Department of Justice's Fusion Center Guidelines; 2) analyze and report on the status of the Department of Homeland Security and Emergency Management goals in the State Homeland Security Strategy (SHSS) and the department's own internal strategic goals; and 3) examine the overall management of these functions.

Information about homeland security theory, practices, initiatives, and funding was obtained from a variety of sources. In addition to literature reviews, program review staff also conducted extensive interviews with DEMHS staff as well as other experts in the field, including: the Federal Bureau of Investigation (FBI); the federal Transportation Security Administration (TSA); the federal Department of Homeland Security (DHS); the Connecticut State Police (CSP); other law enforcement personnel; emergency management personnel; and private sector representatives. In addition, program review staff examined and, in conjunction with DEMHS, analyzed confidential documents and information regarding the state's critical infrastructure program.

Program review staff interviewed and received feedback from Regional Planning Organization (RPO) staff and board members, and attended a meeting of the Capitol Region Emergency Planning Committee, a subcommittee of the Capitol Region Council of Governments. Staff attended meetings of the Emergency Management and Homeland Security Coordinating Council and the Connecticut Intelligence Center policy board. Staff also observed an Urban Search and Rescue field exercise.

The program review committee held a public hearing on this issue on September 25, 2007. The commissioners of the Department of Public Safety and the Department of Emergency Management and Homeland Security addressed the committee, and the Connecticut Conference of Municipalities submitted testimony.

Emergency Management Functions

Most of the analysis in this report is confined to typical homeland security functions as opposed to the emergency management tasks conducted by the department. As discussed in the briefing, emergency management is a vast enterprise. It encompasses a broad range of activities that involve being prepared to respond to and recover from disasters and other emergencies and likely merits a separate study. While in-depth analysis in emergency management area was not undertaken, staff did query all municipal chief elected officials (CEOs) in Connecticut as to their satisfaction with DEMHS' preparedness efforts through a survey.8

8 A total of 101 responses were returned for an overall response rate of 60 percent, though the response rate to individual questions varied.

The survey results indicated a fairly high level of approval of DEMHS' leadership activities, but less so for its funding and financial disbursement capabilities. For example, most CEOs who responded (90 percent of 90 responses) believed DEMHS was very or somewhat effective at providing overall direction and leadership regarding preparedness for emergencies. Nearly 60 percent (of 91 responses) of the CEOs believed that the perspectives of municipalities are sufficiently represented in the state's planning process for federal preparedness grants.

Most CEOs (77 percent of 91) also believed that their municipality's overall capability for responding to a terrorist incident, involving a chemical, biological, nuclear, or explosive agent, has improved since 9/11/2001, though most (56 percent of 91) believed their municipality was only somewhat prepared to respond to a terrorist incident.

In addition, CEOs were nearly evenly split on a question regarding the effectiveness of DEMHS in providing an adequate level of funding to municipalities for emergency preparedness efforts (49 percent of 89 indicating very or somewhat effective and 51 percent indicating somewhat or very ineffective). Similarly, half of the CEOs felt DEMHS was very or somewhat effective (50 percent of 88) at disbursing promised funding in a timely manner. As discussed later in this document, the method of funding local jurisdictions has changed significantly since the survey was administered. The full survey results are included in Appendix C.

Organization of the Report

This report is organized into eight chapters. The first chapter provides a brief historical summary and overview of the current organization of Connecticut's Department of Emergency Management and Homeland Security, and Chapter II outlines the statutory authority for DEMHS as well as the emergency powers of the governor and duties of local government. The third chapter focuses on the specific grant money received by DEMHS through the federal Department of Homeland Security.

Chapter IV discusses the homeland security planning process, the current federal funding methodology, and the methods used to distribute federal money to the municipalities. Chapter V assesses the Connecticut Intelligence Center and the Joint Terrorism Task Force, while Chapter VI examines the critical infrastructure program. Chapters VII and VIII, respectively, review the actions taken by DEMHS to improve interoperable communications and describe the top funding priorities of the Department of Public Safety and the Department of Emergency Management requested by the committee, as well as present findings and recommendations related to selected management practices and other concerns.

Agency Response

It is the policy of the Legislative Program Review and Investigations Committee to provide agencies subject to a study with an opportunity to review and comment on the recommendations prior to publication for the final report. Appendix A contains the response from the Department of Emergency Management and Homeland Security.

Chapter I

HISTORICAL BACKGROUND AND CURRENT ORGANIZATION

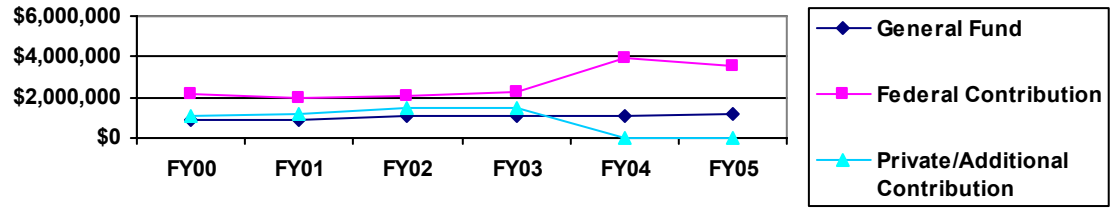
Prior to the establishment of DEMHS, broad emergency preparedness and homeland security responsibilities were located within two other state entities – the Office of Emergency Management (OEM) within the Military Department and the Division of Homeland Security within the Department of Public Safety (DPS). This Chapter provides a brief historical summary of the pre-DEMHS entities and an overview of the present Department of Emergency Management and Homeland Security. Greater detail on the chronology of events leading to the formation of DEMHS is provided in Appendix D.

Office of Emergency Management. The Office of Emergency Management (OEM) was the state's civil preparedness agency that coordinated a wide range of activities to manage the effects of various disasters or emergencies in the state. The office was a separately budgeted state agency until it was merged into the Department of Public Safety in 1992. The office was transferred from DPS to the Military Department in 1999 with the intent of improving coordination of federal resources utilized for disasters and civil emergencies.

OEM's on-going responsibilities included developing a statewide emergency response plan, acting as the state's liaison with the federal emergency management agency, and directing and coordinating state's resources through the Emergency Operations Center (EOC) when necessary. In addition, the OEM was required to manage the preparedness activities of the state's municipalities and review local emergency management plans that are statutorily required.

OEM funding was a combination of state General Fund appropriations and federal and private contributions. Figure I-1 illustrates OEM appropriations for the five-year period before it was transferred to DEMHS. As the chart shows, the majority of OEM's funding came from federal sources with a significant increase after FY 03. A slight increase in state appropriations is also seen during this time frame. Total OEM funding from all sources increased 14 percent over five years, from $4.11 million in FY 00 to $4.67 million in FY 05.

Figure I-1. Office of Emergency Management Appropriations (FY 00- FY 05)



Source: Connecticut State Budget

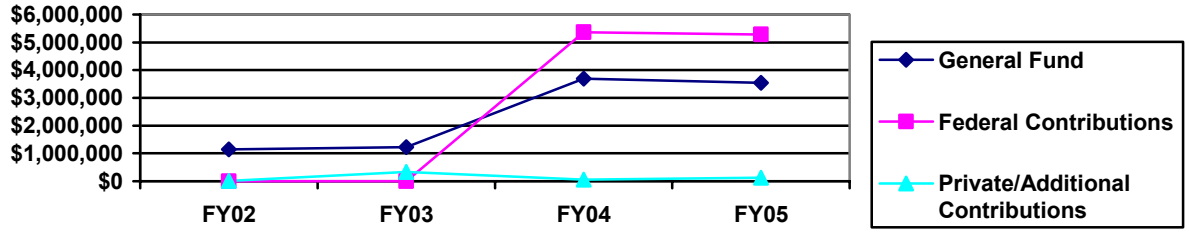
The Office of Emergency Management and its functions were transferred to the newly created Department of Emergency Management and Homeland Security effective January 1, 2005. At that time, 35 positions from OEM were brought into the new department. State funds totaling $974,404 in FY 06 and $898,499 in FY 07 were also provided to help establish the new agency.

Division of Homeland Security. In 2001, the Division of Homeland Security was created within the Department of Public Safety in response to the events of September 11. The division's stated mission was "to utilize all available resources within state government to develop and implement unified safety and security measures to prevent, mitigate and manage incidents threatening the quality of life of the citizens of the State of Connecticut".

The division's primary responsibility was to oversee the state's homeland security and strategy program as well as administer the State Homeland Security Grant Program. Specifically, the division was to provide a liaison with the federal Office of Homeland Security. The division's main focus was on the prevention, protection, mitigation and response to terrorism through cooperative efforts with local, state and federal agencies.

According to state budget documents, the division was initially formed within the Department of Public Safety without any additional state funds. Rather, positions and resources that existed in DPS were transferred to carry out the responsibilities of the division. Figure I-2 charts the division's expenditures between FY 02 and FY 05.

Figure I-2. Division of Homeland Security Expenditures (FY02-FY05)



Source: Connecticut State Budget

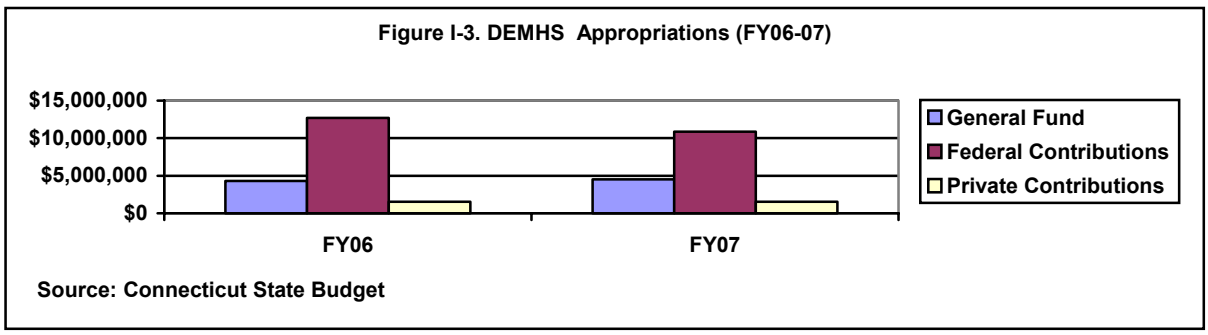
As the chart shows, the division's annual expenditures were approximately $1 million from the state's General Fund in its first two years. After FY 03, the division's General Fund expenditures increased to about $3.6 million. At this time, federal funds also began to contribute to the division's expenditures at approximately $5 million annually. Overall, total expenditures grew from $1.1 million in FY 02 to $8.9 million in FY 05.

In accordance with Public Act 04-219, the Division of Homeland Security and its functions were passed on to the newly created Department of Emergency Management and Homeland Security effective January 1, 2005. Nine civilian positions and 19 trooper positions as well as funds totaling $2,026,828 in FY 06 and $1,991,363 in FY 07 were transferred to the newly formed DEMHS.

Creation of the Department of Emergency Management and Homeland Security. In January 2005, DEMHS was created as a result of a merger of the Office of Emergency Management and the Division of Homeland Security. The new agency was initially placed under the Office of Policy and Management (OPM) for administrative purposes. However, a review of the fiscal and administrative needs of the new agency conducted by representatives from OPM, DPS, and the Military Department recommended that DEMHS have its own staff and not receive support services from OPM. As a result, DEMHS continued to receive fiscal and administrative support from DPS and the Military Department for the first six months of its existence.

Staffing. As of July 1, 2005, DEMHS employed its own fiscal and administrative personnel. In addition, staffing for DEMHS included existing personnel from OEM and the Division of Homeland Security. The DEMHS commissioner was required to enter into an interagency memorandum of understanding with the public safety and military departments regarding the assignment of state police and military department employees as well as the sharing of interagency information. The personnel assigned from the pre-DEMHS agencies would act under the new commissioner's direction but DPS and the Military Department would retain administrative control (i.e., trooper training and discipline) over the state police officers and military personnel assigned to work for the commissioner.

Operating budget. Figure I-3 provides a breakdown of the DEMHS operating budget for the two years since its inception. As the figure shows, state appropriations increased 5 percent, from $4.3 million in FY 06 to $4.5 million in FY 07. However, federal contributions decreased approximately 15 percent from FY 06 to FY 07 from a total of $12.7 to $10.8 million respectively. Private contributions remain at approximately $1.5 million in both years. Funding from all sources totaled $18.5 million in FY 06 and $17.1 million in FY 07. The most recent state budget appropriates $4.77 million in General Fund dollars in FY 08 and $4.85 million in FY 09, approximately a 13 percent increase from FY 06.



Current DEMHS Organization

Headquartered in Hartford, the DEMHS mission is to "direct and coordinate all available resources to protect the life and property of the citizens of Connecticut in the event of a disaster or crisis, through a collaborative program of prevention, planning, preparedness, response, recovery, and public education."

The department has a staff of 85 employees located across its Hartford headquarters, five regional offices, the Emergency Operations Center at the State Armory, and sub-locations at Brainard Field in Hartford as well as the Federal Bureau of Investigations office in New Haven.

The department's organizational structure continues to evolve. As of May 2007, the department consists of an Office of the Commissioner and a variety of divisions, which are illustrated in Figure I-4. Certain divisions report directly to the commissioner, while other divisions report to the deputy commissioner. A general description of the unit functions follows. Further discussion on the specific roles and responsibilities of these units is provided in later Chapters.

As the organizational chart shows, the department has an Office of the Commissioner, which includes staff for legislative and legal affairs. The commissioner has direct oversight of the units handling human resources and procurement functions. Most of the functions of the former Division of Homeland Security are now housed within the Division of Counter Terrorism, which reports to the commissioner and the DPS colonel. This division, which is staffed and supervised by members of the state police, contains the Connecticut Intelligence Center (CTIC), the Joint Terrorism Task Force (JTTF) with domestic and international terrorism units, and a Critical Infrastructure Protection Unit.

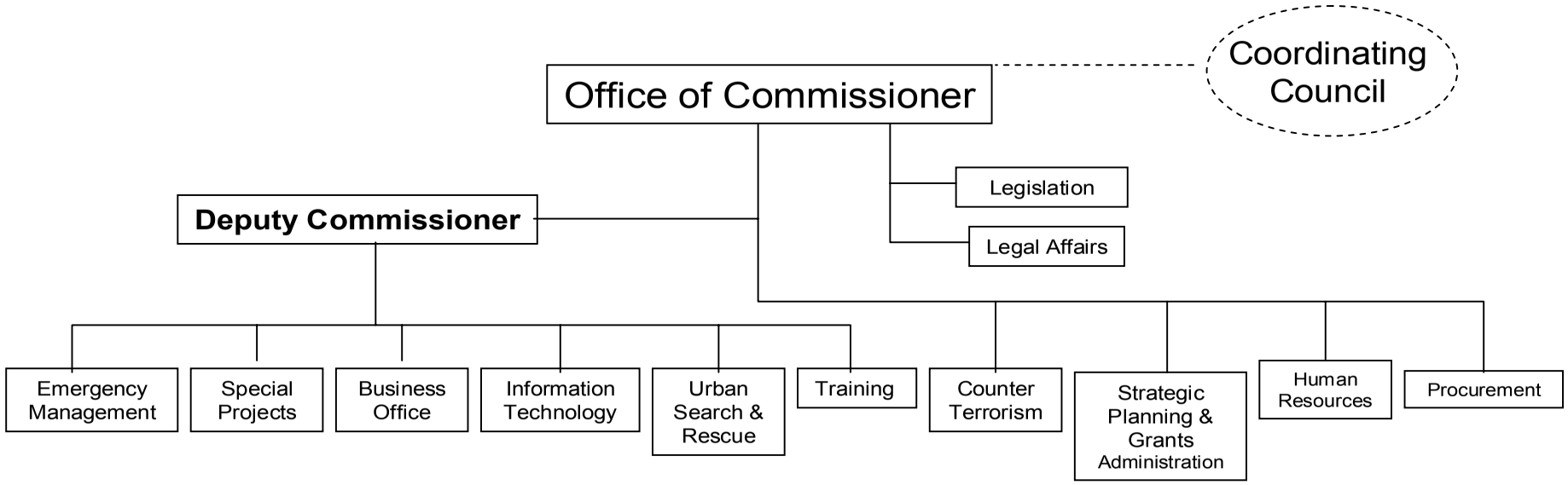
The Strategic Planning and Grants Administration Division also reports directly to the commissioner. One of the division's primary functions is to strengthen and integrate the planning efforts of the emergency management and homeland security functions. The division also administers and manages federal grant funds.

In addition to these divisions, there are also a number of units reporting to the deputy commissioner. These include the Divisions of Emergency Management, Training, Urban Search and Rescue, Information Technology, and the administrative duties of the Business Office.

The functions of the former Office of Emergency Management now reside within the Division of Emergency Management. Housed in the State Armory in Hartford, the Division of Emergency Management consists of three units – Operations; Radiological Emergency Preparedness (REP); and All-Hazards Planning. There are also five emergency management regional offices statewide. A map of the five regions appears in Figure I-5.

The Information and Technology Division provides technical support to DEMHS operations through the management of desktop computers, servers, telecommunication equipment, and radio equipment. DEMHS also coordinates the efforts of the Urban Search and Rescue unit, which is a volunteer group of various emergency service providers trained to locate, extricate, and respond to emergencies in any community. The Training division coordinates and supports federal training efforts including the National Incident Management System (NIMS) training required for various agencies and departments at the municipal and state levels as well as for DEMHS staff. The division also works with municipalities and other groups to develop and conduct drills and exercises to enhance first responder training.

Figure I-4. Department of Emergency Management & Homeland Security



As of May 2007

DEMHS regions. The state is divided into five emergency management regions that closely parallel the emergency medical services regions of the Connecticut Department of Public Health.[9] Each DEMHS region has a coordinator who is responsible for the municipalities within the region. (Chapter VI presents further discussion on the regional coordinators.)

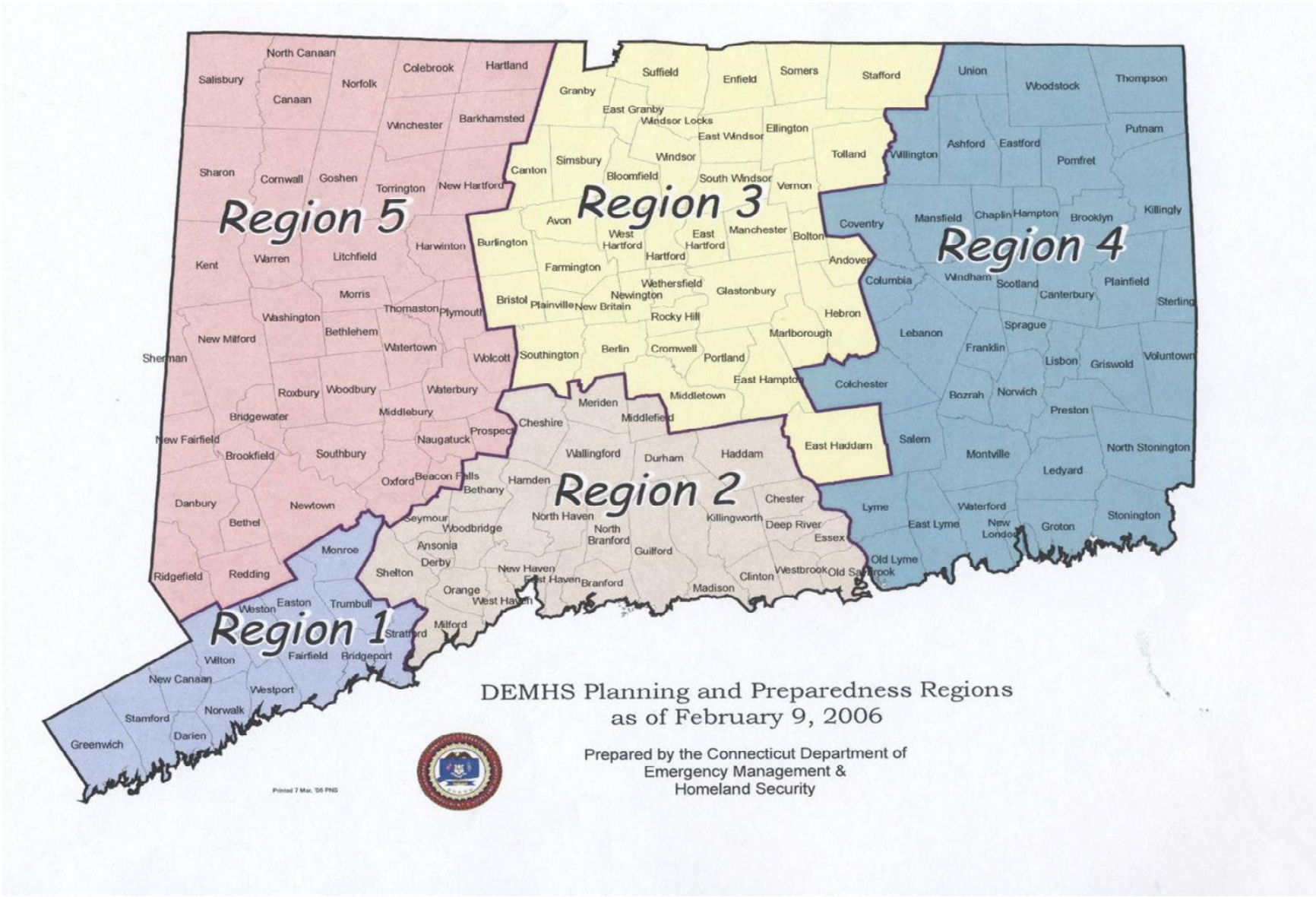
Table I-1 provides a profile of the five DEMHS regions. Each office covers approximately 30-40 local jurisdictions except Region 1, with 14 municipalities. Region 4 also covers two tribal nations. Three regions have five or more towns with populations over 50,000. All but one region have their office within their regional boundaries. (The Region 2 office is located at the Department of Public Safety building in Middletown, which is part of Region 3.) Plans are underway to move the Region 5 office from Litchfield to a building at the Southbury Training School.

Table I-1. Profile of DEMHS Regions

	Office Located	Number of Towns in Region	Towns with population over 50,000	Special Feature/Concern
Region 1	Bridgeport	14	6 (Bridgeport, Fairfield, Greenwich, Norwalk, Trumbull, Stamford)	Part of Metro-New York transportation corridor
Region 2	Middletown (Not within Region)	30	5 (Hamden, Meriden, Milford, New Haven, West Haven)	Host community for Millstone*
Region 3	Rocky Hill	41	7 (Berlin, Bristol, Hartford, Manchester, Middletown, Newington, West Hartford)	Capitol area, Bradley International Airport, Host community for Millstone*
Region 4	Colchester	41	1 (Norwich)	Millstone nuclear power plant, two tribal nations
Region 5	Litchfield	43	2 (Danbury, Waterbury)	

* Five host communities (East Hartford, New Haven, Norwich, Windham, and UCONN/Mansfield) have agreed to provide monitoring, decontamination, and shelter to evacuees from the Millstone area should it ever be necessary.

9 A DEMHS council subcommittee used several factors including population, transportation routes, critical infrastructure, and public safety assets to determine DEMHS regions.


Region 5
Region 3
Region 4
Region 2
Region 1
North Canaan
Salisbury
Canaan
Norfolk
Colebrook
Hartland
Winchester
Barkhamsted
Sharon
Cornwall
Goshen
Torrington
New Hartford
Kent
Warren
Litchfield
Harwinton
Morris
Washington
Thomaston
Plymouth
New Milford
Bethlehem
Watertown
Wolcott
Sherman
Roxbury
Woodbury
Waterbury
Bridgewater
Middlebury
New Fairfield
Prospect
Naugatuck
Brookfield
Southbury
Danbury
Newtown
Oxford
Beacon Falls
Bethany
Bethel
Monroe
Ridgefield
Redding
Weston
Easton
Trumbull
Stratford
Milford
Wilton
Fairfield
Bridgeport
New Canaan
Westport
Norwalk
Stamford
Darien
Greenwich
Suffield
Enfield
Somers
Stafford
Granby
East Granby
Windsor Locks
Ellington
East Windsor
Simsbury
Windsor
Tolland
Canton
Bloomfield
South Windsor
Vernon
Avon
West Hartford
East Hartford
Manchester
Bolton
Burlington
Hartford
Farmington
Andover
Wethersfield
Glastonbury
Bristol
Plainville
Newington
New Britain
Rocky Hill
Hebron
Marlborough
Southington
Berlin
Cromwell
Portland
East Hampton
Middletown
Meriden
Middlefield
Cheshire
Wallingford
Durham
Haddam
East Haddam
Hamden
North Haven
Chester
Killingworth
Deep River
Essex
Seymour
Woodbridge
North Branford
Ansonia
Guilford
Derby
Shelton
New Haven
East Haven
Branford
Orange
West Haven
Madison
Clinton
Westbrook
Old Saybrook
Old Lyme
Lyme
Union
Woodstock
Thompson
Putnam
Willington
Ashford
Eastford
Pomfret
Coventry
Mansfield
Chaplin
Hampton
Brooklyn
Killingly
Columbia
Windham
Scotland
Canterbury
Plainfield
Sterling
Lebanon
Sprague
Franklin
Lisbon
Griswold
Voluntown
Colchester
Bozrah
Norwich
Preston
Salem
Montville
North Stonington
Ledyard
Waterford
East Lyme
New London
Groton
Stonington
DEMHS Planning and Preparedness Regions
as of February 9, 2006
Prepared by the Connecticut Department of
Emergency Management &
Homeland Security
Printed 7 Mar, '06 PNS

The formation of the DEMHS regions was originally intended for emergency planning purposes only. However, the regions are now viewed by DEMHS as a critical component of the long-term goal of fostering cooperation among all levels of government and the various emergency management disciplines. The current DEMHS vision encompasses strong regional collaboration for the allocation of current and future funds.

Regional Planning Organizations (RPOs). In response to a federally prescribed goal, DEMHS is moving to a more regional approach for planning and funding strategies. As such, the agency is relying on a significant working relationship with the Regional Planning Organizations in the state. Table I-2 lists the Regional Planning Organizations by DEMHS region. As the table shows, some RPOs share geographical configurations with more than one DEMHS region. Chapter IV provides a description of the involvement of RPOs in DEMHS activities.

Table I-2. Regional Planning Organizations by DEMHS Region

Region 1	Greater Bridgeport Regional Planning Agency South Western Regional Planning Agency
Region 2	Connecticut River Estuary Regional Planning Agency Council of Governments of the Central Naugatuck Valley* Midstate Regional Planning Agency* South Central Regional Council of Governments Valley Council of Governments
Region 3	Capitol Region Council of Governments Central Connecticut Regional Planning Agency* Midstate Regional Planning Agency*
Region 4	Northeastern Connecticut Council of Governments Southeastern Connecticut Council of Governments Windham Region Council of Governments
Region 5	Central Connecticut Regional Planning Agency* Council of Governments of the Central Naugatuck Valley* Housatonic Valley Council of Elected Officials Litchfield Hills Council of Elected Officials Northwestern Connecticut Council of Governments

*Agency shares geographical configurations with more than one DEMHS region.

Note: Some RPOs have only one town that overlaps DEMHS regional boundaries. In those cases the RPOs are not required to coordinate efforts.

Emergency Management and Homeland Security Coordinating Council (EMHSCC)

Along with the creation of DEMHS, the Connecticut legislature also established the Emergency Management and Homeland Security Coordinating Council. The council is a 25-member group representing various state departments and officials as well as numerous appointments. Details of council membership and appointing authority are shown in Table I-3.

As council chair, the DEMHS commissioner may also ask other federal, state, regional, or local government agencies to participate in the council as nonvoting members for the purposes of consultation, planning, and communication. Recently, the United States Attorney for Connecticut, the Special Agent-in-Charge of the Federal Bureau of Investigations in Connecticut, and the commanding officer of the state's U.S. Coast Guard contingent have been participants. None of the council members receive compensation for their three-year terms.

Table I-3. Emergency Management and Homeland Security Council Membership

Statutorily Designated State Officials	
Commissioners or designees of the state Departments of Emergency Management and Homeland Security (Chair); Public Safety; Public Health; Mental Health and Addiction Services; Environmental Protection; Public Works; and Transportation. OPM secretary; Military Department's Adjutant General; Department of Public Utility Control's chairperson; Department of Information Technology's chief information officer; and the State Fire Administrator	
Other Members	**Appointing Authority**
One EMS professional and one manager or coordinator of 911 public safety answering points	Governor
Two municipal police chiefs	One each appointed by the Governor and the House speaker
Two municipal fire chiefs	One each appointed by the Governor and the Senate president pro tempore
One local or regional health director	Senate president pro tempore
One representative of the Connecticut Conference of Municipalities	Senate majority leader
One volunteer fire chief	Senate minority leader
Two local or regional emergency management directors	One each appointed by House speaker and the president of the Connecticut Emergency Management Association
One non-profit hospital administrator	House majority leader
One representative of the Council of Small Towns	House minority leader
Source: C.G.S.§ 28-1b	

The council's role is to advise DEMHS on: 1) the development of policy; 2) the acquisition and distribution of federal funding; and 3) setting priorities for emergency management and homeland security initiatives. Specifically, the council is statutorily charged (C.G.S. § 28-1b) with advising DEMHS on:

- the state's overall emergency management and homeland security preparedness, policies, and communications;
- the acquisition and management of federal or state funds for emergency management and homeland security;
- interoperability issues of statewide emergency response systems;
- improvements to emergency response and incident management including: training and exercises; volunteer management; communications and use of technology; intelligence gathering, compilation, and dissemination; the development, coordination and implementation of state and federally required emergency response plans; and the assessment of the state's use of regional management structures; and
- strengthening consultation, planning, cooperation and communication among: federal, state, and local governments; the Connecticut National Guard; police; fire; emergency medical and other first responders; emergency managers; public health officials; private industry; and community organizations.

The council initially met monthly. However, legislation passed during the 2007 session allows the council to meet on a quarterly basis. The council has established several sub-committees to carry out its mission including but not limited to subjects such as interoperability, training, and regional collaboration. These subcommittees meet regularly and include representation from various local, state, and federal agencies involved in emergency management and homeland security. The council is statutorily required to submit an annual report to the legislature.

Chapter II

STATUTORY AUTHORITY

In addition to creating the new Department of Emergency Management and Homeland Security, Public Act 04-219 also detailed the qualifications, powers, and duties of the new agency commissioner. These requirements and responsibilities are codified within Title 28 of the Connecticut General Statutes, which provides the statutory authority for civil preparedness and emergency services. These laws outline the various responsibilities of the governor, the commissioner of DEMHS, and local governments. A general discussion of each area is provided in this Chapter.

DEMHS Commissioner

Qualifications. Pursuant to state law, the DEMHS commissioner is appointed by the governor with the advice and consent of the legislature to serve a four-year term. The commissioner must have at least five years of public safety, security, emergency services, and emergency response managerial or strategic planning experience. The commissioner cannot have: 1) a record of criminal, unlawful, or unethical conduct; or 2) past or present political activities or financial interests that may substantially conflict with the duties of the commissioner, expose the commissioner to undue influence, or compromise the ability to be entrusted with necessary state or federal security clearances or information. (C.G.S.§ 28-1a)

Duties. The commissioner has the same powers as other department heads, including the power to organize his agency, designate a deputy, and adopt regulations. He specifically has all the powers and duties formerly exercised by the directors of OEM and the Division of Homeland Security. (C.G.S.§ 28-1a(g))

The commissioner's primary responsibility is to provide a coordinated, integrated program for statewide emergency management and homeland security. To achieve this, the commissioner is charged with many duties including:

- coordinating with state and local government agencies and private sector groups to ensure they receive adequate planning, equipment, training, and exercise activities regarding homeland security;
- linking, and where necessary, consolidating all homeland security communications and other communications systems in the state including those in the local government and the private sector;
- managing the distribution of information and security warnings throughout the state; and
- developing standards and security protocols for the use of any intelligence information. (C.G.S.§ 28- 1a(c))

In the performance of his duties, the commissioner may request and receive assistance from any federal, state, or local agency. The commissioner must use the personnel, services, equipment, supplies, and facilities of existing state offices, departments, and agencies to the maximum extent possible. The commissioner is authorized to make any necessary orders and regulations to develop and implement the state's emergency management plans and program. The orders and regulations have the full force of law. (C.G.S.§ 28-5)

The governor must approve the commissioner's emergency management plans and program. Once approved, all government agencies and emergency management forces must carry out their assigned duties and functions. The commissioner must institute training and public information programs and take preparatory steps to operate the plans during emergencies. (C.G.S.§ 28-5(b))

With the governor's approval, the commissioner may: (1) represent the state on regional or interstate emergency management organizations; (2) enter into mutual aid arrangements with other states; and (3) establish and operate area or district offices to control and coordinate emergency management preparations and mutual aid among communities. (C.G.S.§ 28-4)

The commissioner is authorized to do all things necessary to apply, qualify for, and accept federal civil defense or homeland security funds. The commissioner is required to submit an annual report to the legislature's public safety committee that details and evaluates statewide emergency management and homeland security activities for the preceding calendar year.

Civil Preparedness and Emergency Services Authority

In the event of a disaster or emergency, the governor or the DEMHS commissioner may authorize the use of civil preparedness forces10 as she or he deems necessary. This is usually done upon the request of the local chief executive authority when such action is deemed necessary for the protection of the health and safety of the people. Title 28 of the Connecticut General Statues outlines the powers and duties of all involved.

Governor's authority. As noted above, state law authorizes the governor to proclaim a state of civil preparedness emergency exists. The proclamation is effective upon filing with the secretary of state. A proclamation regarding a man-made disaster may be disapproved by a majority vote of a legislative committee consisting of the Senate president pro tempore, House speaker, and the majority and minority leaders of both chambers. Disapproval must be filed with the secretary of state within 72 hours of the governor's proclamation and must include at least one of the minority leaders voting for disapproval.

Upon the declaration of a state of emergency, the governor may modify or suspend any statute, regulation, or requirement that conflicts with the efficient and expeditious execution of civil preparedness functions. Furthermore, Title 28 of the Connecticut General Statutes authorizes the governor to:

10 "Civil preparedness forces" are defined as any organized personnel engaged in civil preparedness functions such as police, fire, emergency medical services, medical reserve corps, or Urban Search and Rescue team. (C.G.S.§28-1(5))

- control, commit and /or regulate resources (C.G.S. § 28-9, § 28-7(f) and § 28-11);
- order mandatory evacuation (C.G.S.§ 28-9(f));
- request federal assistance (C.G.S. § 28-9a, § 28-9b, § 28-9c, § 28-9d);
- manage the removal of debris or wreckage (C.G.S. § 28-9c); or
- take any other reasonably necessary steps to protect the health, safety, and welfare of residents, to prevent or minimize the loss or destruction of property as well as to minimize the effects of hostile action (C.G.S. § 28-9(g)).

Local government. Each city or town must establish a local organization for civil preparedness. The local organization consists of an advisory council and a director appointed by the chief executive officer (CEO). According to DEMHS, few local emergency management directors are full-time, paid directors. The majority of local emergency management directors are part-time directors with no staff support. Most of these part-time directors are volunteers.

Each town must prepare an emergency operations plan prepared by the local emergency management director and approved by the local CEO and subsequently approved by the DEMHS commissioner. DEMHS provides a template for locals to use in preparing their plans. The plans provide emergency contact information as well as define the roles and responsibilities of local government, quasi-government organizations, and private agencies to prepare and respond to emergencies. These plans must be reviewed and updated annually and are a prerequisite for the town to be eligible for any state or federal benefits. As of October 1, 2007, towns must also consider whether to provide for nonmilitary evacuation of livestock and horses in their emergency plans of operations.11

Under state law, the CEO of any town or city may declare a local preparedness emergency or disaster emergency. The declaration activates the town's emergency plan of operations. All municipalities have a facility designated as a local emergency operations center (usually set up in the town hall, the police station, or a fire station), which serves as the local chief executive's direction and control center. The CEO may take any necessary action to mitigate the disaster or emergency and to preserve any evidence relevant to a future investigation.

The DEMHS State Emergency Operations Center must be notified through the DEMHS regional office within 24 hours of any local emergency declaration. Upon proclamation of an emergency, the affected jurisdiction is allowed to request assistance from any other municipality within the state under the intrastate mutual aid system.

Intrastate mutual aid system. During the 2007 session, the legislature enacted the Intrastate Mutual Aid Compact (IMAC). Similar to the Emergency Management Assistance Compact (EMAC) for states (discussed below), IMAC provides a statewide mechanism for towns to request and provide mutual aid during a declared local civil preparedness emergency. The compact, effective

11 P.A. 07-208 also requires that by October 1, 2007, colleges, universities, and private occupational schools prepare emergency response plans in consultation with local first-responders.

October 1, 2007, outlines procedures for activating the compact, allows for permit and license reciprocity, and resolves reimbursement and liability issues.

All towns are automatically members of the compact. However, IMAC participation is voluntary. Any town may adopt a resolution withdrawing from IMAC. IMAC membership does not preclude a town from participating in other mutual aid agreements.

Compact towns must identify and inventory current services, equipment, supplies, personnel, and other resources related to planning, prevention, mitigation, response, and recovery activities. The member towns are required to use a common system to identify potential hazards that may affect participating towns. They must conduct joint planning, intelligence sharing, and threat assessment development with contiguous participating towns. Compact towns must conduct joint training at least biennially and adopt DEMHS' approved standardized incident management system.

Emergency Management Assistance Compact. When incidents overwhelm the response capabilities of an individual state, there may be a need to seek assistance beyond its borders. The Emergency Management Assistance Compact governs interstate mutual aid. All states are members of EMAC, which provides the procedures to request and receive assistance from other states.

EMAC, codified in C.G.S.§ 28-23a, addresses issues of liability and reimbursement for providing aid. The state requesting assistance agrees to assume liability for out-of-state workers deployed under EMAC. The requesting state also consents to reimburse the assisting state for all deployment-related costs (with proper documentation). Any state requesting or providing EMAC assistance must have its respective governor's permission. Any self-dispatching responders are not entitled to any protections.

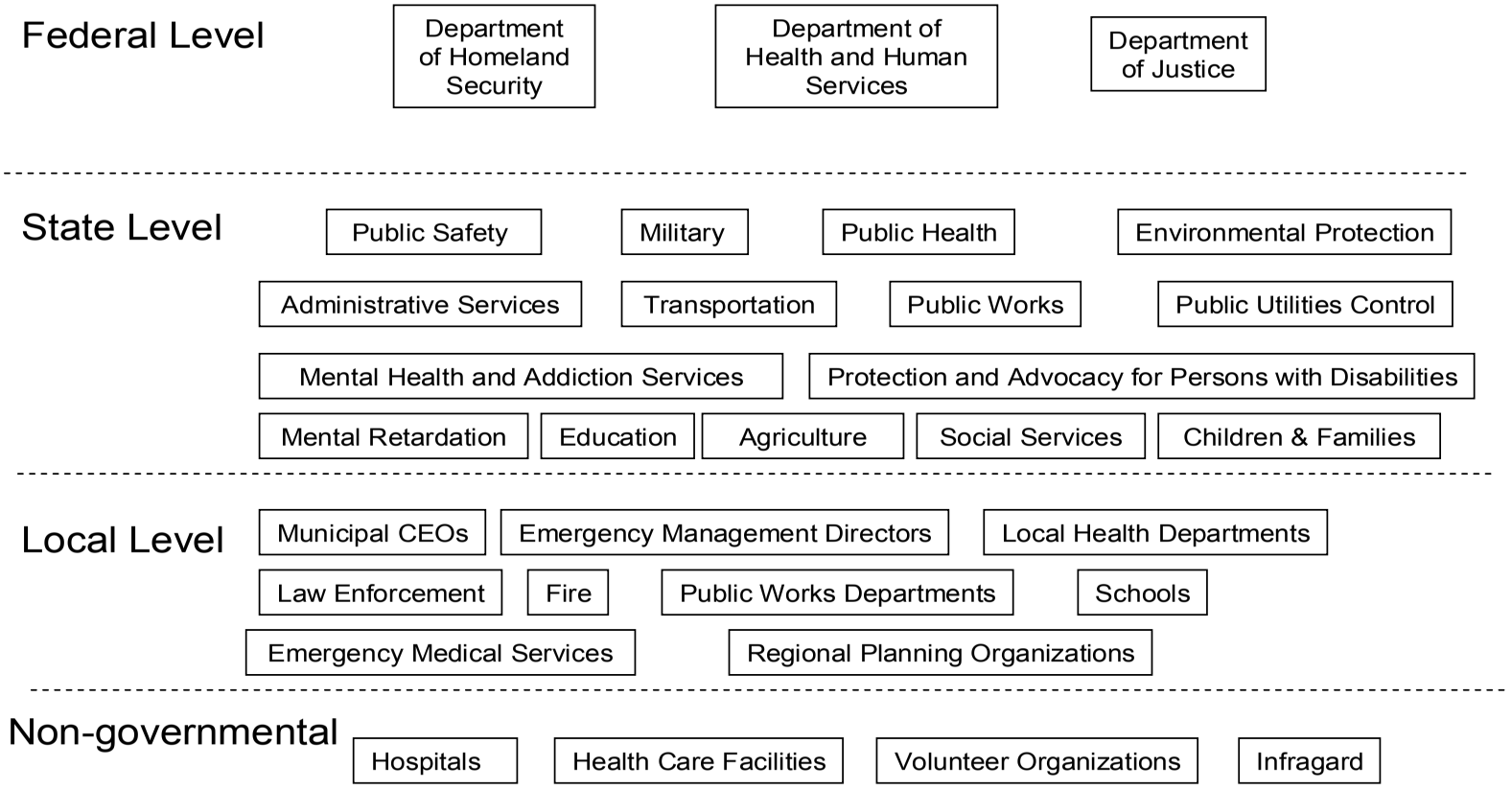
Other DEMHS Partnerships

In the wake of an emergency or disaster, DEMHS is involved, at least theoretically, in varying degrees with every individual, group, or entity impacted by the incident. However, to carry out certain specific duties, DEMHS has developed a network of partnerships with a wide range of public and private entities. Figure II-1 shows many of the participants involved with DEMHS activities. As the figure illustrates, DEMHS has working relationships with a number of governmental agencies on the federal, state, and local level.

Two of the most prominent federal agencies involved in emergency management and homeland security are the Department of Homeland Security and the Department of Health and Human Services. Both of these agencies provide the bulk of federal guidance and funding to states on homeland security matters. The Department of Justice, through its Federal Bureau of Investigations, is the lead agency for terrorism-related investigations.

On the state level, DEMHS is leading a number of multi-agency task forces charged by the governor with preparing state government to deal with terrorism and emergency management. Particularly through the state's planning and preparedness efforts, DEMHS works

Figure II-1. DEMHS Partnerships with Government and Non-Government Agencies



closely with the Departments of Public Health, Environmental Protection, and Agriculture. To adequately deploy response and recovery efforts, DEMHS has working relationships with the Departments of Public Works, Transportation, and Public Utility Control. DEMHS continues to explore the needs of special populations with the assistance of the Departments of Mental Health and Addictions Services, and Mental Retardation, and the Office of Protection and Advocacy for Persons with Disabilities. DEMHS has partnered with the state Department of Education to install public alert radios in Connecticut public schools and to administer grants for school security. DEMHS, in conjunction with the Departments of Social Services and Children and Families and others, has revived the Child Safety and Crisis Response Committee. DEMHS is also involved in the state's Continuity of Operations Plan headed by the Department of Administrative Services. As noted throughout this report, DEMHS's day-to-day operations benefit from special relationships with the Department of Public Safety and the Military Department.

DEMHS also works closely with local government emergency management directors, other municipal officials and agencies, and tribal nations. DEMHS supports volunteer community involvement in efforts such as the Community Emergency Response Team (CERT). DEMHS has reached out to the private sector through communications with organizations such as Infragard, a nonprofit group addressing the vulnerabilities of physical and computer infrastructure in private sector entities.

In addition to Connecticut entities, DEMHS has various collaborations with other states, most notably New York, New Jersey, and those in New England. DEMHS has also worked with the International Emergency Management Group, which includes New England, New York, and the Eastern Canadian Provinces to develop mutual aid arrangements among the participating states and provinces.

Chapter III

Federal Assistance To State And Local Governments

Between 2002 and 2007, Connecticut was awarded nearly $154 million in federal grants to assist the state and local governments with preventing and preparing for terrorist attacks and other major catastrophes. The state and municipal governments have been using these funds to increase the state's overall level of preparedness. The discussion below describes the intent and the types of eligible activities supported by each grant program, how the federal Department of Homeland Security allocates the money among the states, and the overall trend in federal homeland security funding. Also identified are state and local expenditures by project and examples of item purchased with federal homeland security funding.

The focus in this chapter is on the specific grant money received by DEMHS through DHS. It does not include all federal assistance programs with homeland security or public safety components. For example, aside from the Justice Assistance Grants (JAG) administered by DEMHS described below, other JAG money received by the state for public safety-related activities and administered by other agencies has not been included.

In addition, other preparedness funds awarded to private or special purpose state and local government entities (i.e., transit authorities), are identified, but are not the subject of this study. Finally, federal grants administered by the state Department of Public Health have not been included as they are the focus of another study completed by the program review committee in 2004 called Preparedness for Public Health Emergencies.

Background

Federal funding to improve capabilities of state and local governments in responding to terrorist incidents began in the late 1990s. In 1998, the Department of Justice established the Office for Domestic Preparedness (ODP) within the Office of Justice Programs (OJP) to assist state and local first responders acquire specialized training and equipment needed to respond to and manage terrorist incidents involving weapons of mass destruction (WMD). The office was transferred to the federal Department of Homeland Security (DHS) upon its creation in March 2003, and its name was changed in 2005 to the Office of Grants and Training. It has been the principal source of domestic preparedness grants that have focused largely on first responders. After the transition to the new federal Department of Homeland Security, the State Domestic Preparedness Equipment Program, as it was called from 1998 through 2002, became the Homeland Security Grant Program (HSGP).

After the events of September 11, the amount of grant funds awarded by the federal government grew significantly for a few years and then declined. For example, in federal fiscal year 1999, ODP awarded $91 million in federal grants nationwide. By 2004, $2.9 billion was awarded in total. However, in the next year, the federal government began to scale back homeland security assistance so that by 2007 DHS funding declined by over 40 percent compared to 2004 levels, when $1.7 billion was awarded through the homeland security grant program.

Homeland Security Funding For Connecticut

Summarized in Table III-1 are the major federal homeland security and preparedness grants administered by DEMHS. Federal funding provides the majority of the resources for Connecticut's preparedness activities.

Table III-1. Federal Homeland Security and Preparedness Funding, FFYs 2002- 2007

Grant Program	FFY 2007	2002-2007 Total
Homeland Security Grant Program		
State Homeland Security Grant Program*	$5,840,000	$91,723,248
Law Enforcement Terrorism Prevention Program	4,170,000	18,908,181
Citizen Corps Program	211,033	1,774,658
Metropolitan Medical Response System**	258,145	1,118,067
Urban Areas Security Initiative***	0	10,371,406
Emergency Management Performance Grant****	3,553,767	14,771,053
Buffer Zone Protection Program	194,000	1,233,000
Public Safety Interoperable Communications	13,000,000	13,000,000
Transit Security Grant Program - Ferry Security	414,350	414,350
Other	0	346,655
Total	$ 27,641,295	$ 153,660,618

*In 2002, this program was called the State Domestic Preparedness Equipment Program. ** Only eligible city is Hartford ***Only eligible city was New Haven ****Includes FFY 2007 supplemental grant of $728,231
Sources: FFY 2007 HSGP Grant Guidance, Department of Homeland Security; Department of Emergency Management and Homeland Security; Connecticut State Budget, Office of Fiscal Analysis

Homeland Security Grant Program (HSGP). Overall, the Homeland Security Grant Program is the single largest cumulative federal grant primarily employed for building and sustaining preparedness capabilities. It represents 81 percent of the federal funding that Connecticut has received since 2002. The program consists of five sub-grants described below.

State Homeland Security Program (SHSP) - Described as the "core" assistance program, SHSP provides funding for the equipment, training, exercising, and planning needs of state and local governments related to potential acts of terrorism. It is the largest of the sub-grants available under the HSGP. Initially, much of the funding under this program was aimed at equipping and training first responders to respond to incidents involving weapons of mass destruction. The scope of funded activities has evolved into supporting all types of catastrophic events, as long as the funded activities also support capabilities that relate to terrorism. For example, mass evacuation planning benefits both terrorism preparedness as well as preparing for natural catastrophes. The program is intended to build capacities at the state and local level and must support the state homeland security strategy (SHSS) as well as key aspects of national preparedness strategies

and plans. (See Chapter IV for a discussion of the SHSS and the relationship to national strategies).

Under current law, SHSP funds are allocated based on a federal analysis of risk and anticipated effectiveness of proposed priorities to reduce overall risk. However, each state receives a minimum amount of 0.75 percent of the total funding, or about $3.82 million, regardless of risk and effectiveness scores. From FFYs 2002 through 2005, each state received a minimum base amount, and the remaining amount was distributed to states based on population. Beginning in FFY 2006, the states received a base amount, but the remaining amount was distributed based on an analysis of risk and anticipated effectiveness in addressing needs rather than population. This meant that a large portion of the grant was and continues to be awarded on a competitive basis. The allocation methodology is described in more detail in the next chapter. Each state is required to make no less than 80 percent of the total grant amount available to local governments.

For FFY 07, the state of Connecticut was awarded $5.8 million under this program. Cumulatively, the state has received over $91 million since 2002. The high point of this sub-grant program was reached in FFY 2003 when the federal government provided just over $2 billion to all the states; in that year Connecticut was awarded just over $30 million.

Law Enforcement Terrorism Prevention Program (LETPP): This program provides funds to law enforcement and public safety organizations to support terrorism prevention activities. Examples of what DEMHS proposes to use FFY 2007 funding for under this program includes: supporting and enhancing the Connecticut Intelligence Center, which gathers and disseminates intelligence information to the law enforcement community and its public safety partners; and providing equipment to local police departments in support of the state's preparedness goals.

Funding for the LETPP is disbursed to the states based on the same formula as SHSP. Connecticut was awarded about $4.2 million in FFY 07. After a 67 percent cut in FFY 06, Connecticut's funding increased in FFY 07 by 125 percent under this program. Connecticut only requested 0.48 percent of the base LETPP allocation when the minimum allocation was 0.75 percent in FFY 06. DEMHS states a reduction in grant funding in 2006 and elimination in 2007 was anticipated, based on federal grant guidance. However, DHS did not reduce or eliminate the program; consequently, Connecticut received less in that year than it was ultimately eligible for.

Citizen Corps Program (CCP): The purpose of this program is to bring community and government leaders together to coordinate community involvement in emergency preparedness, response, and recovery activities. For FFY 07, a minimum amount of 0.75 percent of total available grant funding was awarded to each state, and the balance was distributed on a population-share basis. Connecticut

was awarded $211,033 for FFY 07. DEMHS proposes to use the funding in the areas of planning, training, and exercises to prepare volunteers to assist various government efforts during a disaster. At present, 63 Citizen Emergency Response Teams who are trained or in training to perform a number of different duties including supporting first responders, providing assistance to victims in a shelter, and organizing spontaneous volunteers at a disaster are funded.12

Metropolitan Medical Response Systems (MMRS): The MMRS program supports local preparedness efforts in 124 specific areas of the country to respond to all mass casualty incidents including terrorism, epidemics, natural disasters, and large scale hazardous materials incidents. The number of metropolitan medical systems funded and the amount they receive is at the discretion of DHS. The Capitol Region Council of Governments represents the only metropolitan area in Connecticut to qualify for funding under this program; it will receive almost $260,000 in FFY 2007. States may retain up to 20 percent of the MMRS funds, but DEMHS has historically passed through the entire amount. Recent funding reductions overall may require DEMHS to reconsider this practice.

Urban Area Security Initiative (UASI): The UASI program focuses on the planning, equipment, training, and exercise needs of high-threat, high-density urban areas. More specifically, the funds must increase the capacity of urban areas to prevent, protect against, respond to, or recover from terrorist threats (i.e., chemical, biological, radiological, nuclear, explosive, agricultural, and cyber terrorism incidents). DHS determines which areas receive funding based on a risk model that incorporates population density, critical infrastructure and other factors, and anticipated effectiveness of proposed solutions. States are responsible for the overall administration of UASI funds and are allowed to retain 20 percent of the funding. For FFY 2007, 45 areas nationwide were awarded funding, none in Connecticut. Only the city of New Haven qualified once, in 2004, for $10.4 million under this program.

It is important to note that while the federal government developed these grant programs for specific purposes, the grant purposes evolved over time. In short, DHS guidance indicates both the UASI and LETPP programs are largely designed to provide state and local governments with funds to prepare for and protect against as well as respond to and recover from acts of terrorism. While this intention also exists in the State Homeland Security Program, it has the additional purpose of supporting the implementation of the all-hazards National Preparedness Goal, which is discussed further in the next chapter. The other two grants under the Homeland Security Grant Program, the Metropolitan Medical Response System and the Citizen Corps Program, are almost completely focused on preparedness for post-event response to any major catastrophe. This development supports the overall trend of homeland security moving from a solely terrorism focused idea to a broader preparedness concept.

12 As of June 21,2007, 52 teams were fully trained, 11 were in training, and an additional 24 were proposed.

Emergency Management Performance Grant Program (EMPG). The EMPG program is designed to assist in the development, maintenance, and improvement of state and local emergency management capabilities, while addressing issues of national concern. This program pre-dates 9/11. Most of the activities it funds focus on improving capabilities related to responding to and recovering from major events – traditional emergency management functions. Each state is guaranteed a base amount of 0.75 percent of total appropriations. The remainder is distributed based on each state's share of the nation's population.

Unlike the other programs, this grant requires a 50 percent state match. Connecticut was awarded $2.8 million for FFY 2007. Most of this funding is allocated to supporting staff salaries and equipment at the DEMHS Emergency Operations Center. DEMHS also passes about $700,000 to 87 municipalities in the form of 50/50 cost share grants to fund the salaries of emergency management directors, their staff, equipment, and communications systems (e.g., telephone and pager services). While the amount of funding distributed by the state is based on town population, DEMHS is hoping to establish a baseline grant of about $3,000 for all municipalities in order to assist smaller towns.

Buffer Zone Protection Program (BZPP). This program is designed to enhance the security surrounding the nation's critical infrastructure, including chemical facilities, financial institutions, nuclear and electric power plants, dams, stadiums, and other high-risk/high consequence facilities. The funding is intended to assist in developing effective measures that make it difficult for terrorists to conduct surveillance or to launch attacks within the vicinity of critical infrastructure, as well as increase the preparedness of local jurisdictions where such facilities are located. The buffer zone improvements focus on the perimeter outside the identified infrastructure. Funding cannot be passed on to private sector facility owners for internal security measures. Only DEMHS, as the State Administrative Agency for DHS grants, is eligible to apply for these funds, but the local jurisdictions with authority over and around the identified sites are subgrantees. DHS selects sites based on a risk analysis of the sites and its level of "criticality." Currently, Connecticut has 17 sites DHS has determined to be critical. The program initially provided $50,000 per site to purchase equipment to better protect the facility and first responders. This amount was increased to $194,000 per site in FFY 2007.

Public Safety Interoperable Communications Grant (PSIC). The PSIC grant is a new (FFY 2007), one-time program designed to assist public safety agencies to acquire, deploy, and train on interoperable communications systems. The grant is to be awarded by September 30, 2007. Each state will be awarded a base amount of $3 million with the balance distributed based on a DHS risk assessment. Each state is required to pass through no less than 80 percent of the funding to local public safety agencies and authorized non-governmental agencies, such as for-profit ambulance companies. The program requires a 20 percent match for all funded activities, except for training. Connecticut is eligible for about $13 million in funding.

Transit security and other. The Transit Security Program's sub-program for ferry security is intended to enhance security measures around transit facilities. Connecticut's two major ferry operations (Bridgeport/Port Jefferson and New London/Orient Point) received a combined total of $414,350 in FFY 2007. (This was the only year the ferry companies have received funding.) DHS selected DEMHS as the State Administrative Agency or responsible entity for this grant.

Connecticut has also received two one-time Justice Assistance Grants, available through the federal Department of Justice. These grants totaled $346,000 and supported the former state terrorism task force and certain emergency management functions – mainly equipping the Urban Search and Rescue team discussed later in this report.

Miscellaneous. There are three other federal programs that fund preparedness activities in Connecticut that are not administered by DEMHS. A port security program provides grant funding to port areas for the protection of critical port infrastructure from terrorism. All three of Connecticut's major ports have received funding totaling $9.3 million since 2002. In addition, various transit authorities between Connecticut, New York, and New Jersey have shared in $211 million in security upgrades through the Transit Security Grant Program's sub-program Intercity Rail and Bus.

Finally, the Assistance to Firefighters Grant Program (AFG) is designed to reach high-risk target groups to reduce the incidence of deaths and injuries related to fire incidents. This program pre-dates 9/11. It is often used to equip fire departments for routine incidents, rather than terrorist-specific events. In FFY 2007, the AFG program awarded Connecticut municipalities $556,000.

Homeland Security Funding: Trends and Per Capita Funding

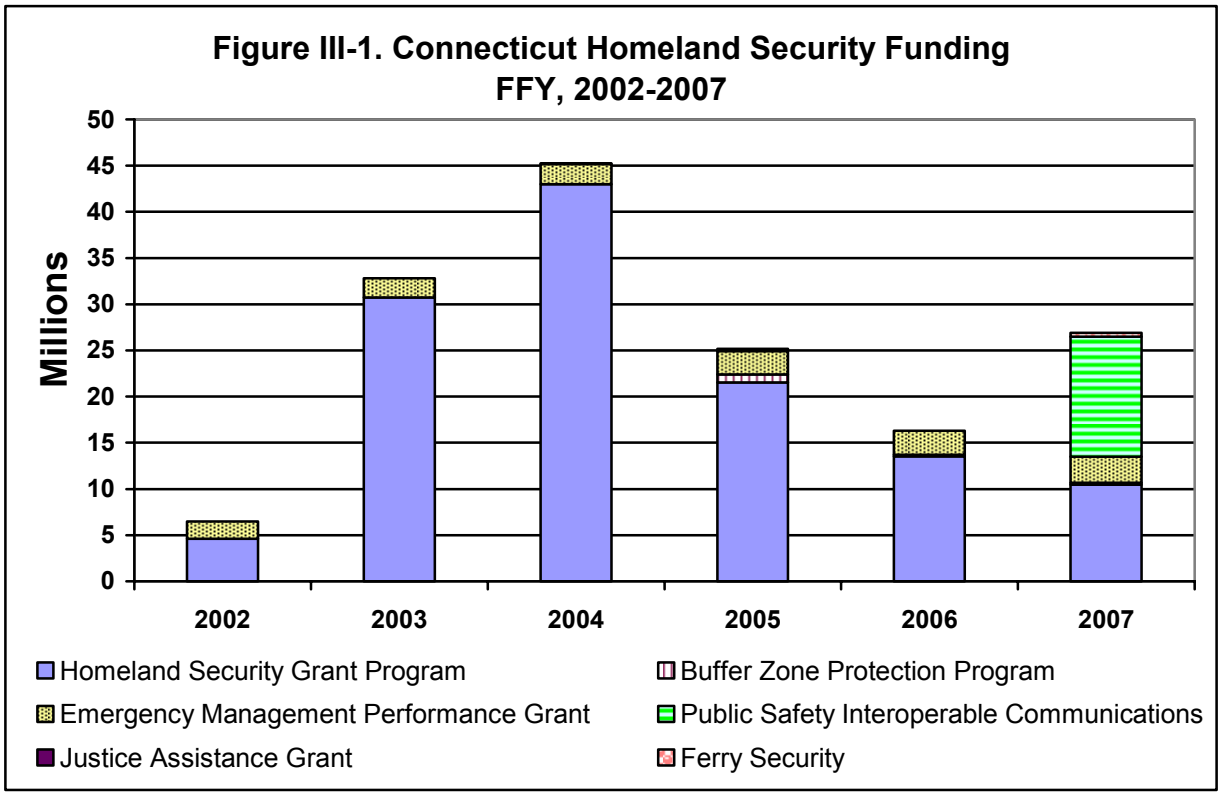


Figure III-1 shows the trend in homeland security funding awarded to Connecticut since 2002. After the events of 9/11, there was a considerable increase in homeland security funding, which peaked in 2004 when the state was awarded approximately $45 million. From this point, the total funding declined over the next two years. In 2007, there was an increase in funding due to the one-time interoperability grant of $13 million. In the absence of this interoperability grant, total homeland security funding would have been about $14.6 million, or about half the actual amount awarded.

Of the $126 million awarded to Connecticut between 2002 and 2006, about $88 million has been expended, an additional $18 million has been encumbered, and about $20 million is unobligated. The 2006 and 2005 State Homeland Security Grants have the largest outstanding unobiligated balances -- about $12 and $6 million respectively.

Table III-2. State Homeland Security Federal Funding Per Capita

	2005		2006		2007	
	Amount	*Rank*	*Amount*	*Rank*	*Amount*	*Rank*
Connecticut	$6.07	40	$3.86	38	$2.99	43
National Average	$7.76		$5.54		$5.60	

Per capita spending calculated with 2005 population estimates for FY 2005. Per capita spending calculated with 2006 population estimates for FY 2006 and FY 2007. The grant allocations include the State Homeland Security Program, Law Enforcement Terrorism Prevention Program, Urban Area Security Initiative, Citizen Corps Program and the Metropolitan Medical Response System Program.
Source: Federal Funds Information For States, Issue Brief 06-25, June 5, 2006, and Issue Brief 07-34, July 25, 2007

Per capita funding. Table III-2 compares homeland security grant funding for the five major sub-grants on a per capita basis for the last three years among the 50 states, the District of Columbia, and Puerto Rico. Connecticut has consistently ranked below the national per capita average for federal homeland security funding.

The percentage difference between Connecticut and the national average has increased each year and grew even larger with the introduction of a more risked-based formula in 2006. In 2005, the difference between Connecticut's per capita amount and the national average was 22 percent; by 2007, it was 47 percent.

Federal Homeland Security Expenditures by Project, Sub-Program, and Discipline

At the September briefing, the program review committee asked staff to provide additional information on how federal homeland security money was invested. DEMHS, which was created in 2005, can account for total homeland security funding for the federal grant years for which it was responsible – from 2004 through present. Prior year's federal grants were managed by the Department of Public Safety (2003) and the Military Department (2002).

Due to the fact that different agencies were administering grants with different goals in different years, the grant funding was accounted for in different ways. In the discussion below, aggregated amounts from the various departments are presented to show how much was spent on

administrative costs versus equipment costs. There is also a description of the equipment purchased by each department. A more detailed analysis of DEMHS expenditures is also presented.

Table III-3. Homeland Security Expense Breakdown			
Department	**Administrative**	**Equipment**	**Total**
Department of Emergency Management and Homeland Security 2004-2006	$10,609,312	$42,916,023	$53,525,335
Department of Public Safety 2003	2,465,000	27,693,000	30,158,000
Military Department 2002	274,298	4,198,321	4,472,619
Total	$ 13,348,610	$ 74,807,344	$ 88,155,954
Source: DEMHS, DPS, Military Department. Note: Administrative includes: salary, overtime, consultant fees, office supplies, etc., and training and exercise expenses.			

In Table III-3 staff has estimated the total amount of federal homeland security funding spent on administrative costs such as salaries, the amount spent on equipment, and the grand total. *As the table indicates, 85 percent of the funding was invested in equipment, and 15 percent was spent on administrative expenses*.

Military Department. In 2002, the Military Department administered the $4.5 million federal grant through the former Office of Emergency Management.13 Approximately 94 percent of the money went toward equipment. About 75 percent of that total funded local, regional, and hospital investments, while 25 percent went to the state. Examples of equipment purchased include: decontamination trailer units; chemical identification kits; various tools; personal protective equipment; decontamination equipment; powered air purification respirators; gas masks; emergency response kits; gas monitors; air packs; air cylinders; and various smaller equipment items.

Department of Public Safety. The former Division of Homeland Security in the Department of Public Safety was the administrative agency for the $30.1 million federal homeland security grant in 2003. Approximately 8 percent of the total funding went toward administrative expenses, though this included over $1 million in expenses related to the nationally recognized TOPOFF 3 exercises. While the majority of funding went to municipalities, the exact breakdown was not immediately available for this portion of the funding. Examples of the equipment purchased include: personal protective equipment; chemical, biological, or radiological detection equipment; decontamination trailers; communications equipment; pharmaceuticals; CBRNE incident response vehicles; search and rescue equipment; and closed- circuit television cameras.

DEMHS. Since its inception, DEMHS has spent $53.5 million in federal funding to enhance the state's preparedness and response capabilities. This does not include funding that has been encumbered or awarded and not encumbered. A total of $10.6 million (20 percent) has been spent

13 The Military Department administered Department of Justice Domestic Preparedness Program Grants from 1999 through 2002. The earlier years were not included in this analysis because the time frame that this report covers is from 2002 through the present. The 1999-2001 preparedness grants totaled $1.7 million.

on salaries, overtime, and backfill (i.e., replacement of public safety personnel in training) while $42.9 million (80 percent) has been spent on equipment.

The federal government provided the accounting architecture through which states can track expenditures. Expenditure information is classified on a project, program, and sub-program basis. Below expenditures are analyzed by project, the largest grouping of expenditures, and by sub-program, the smallest grouping of expenditures. In addition, information is provided on how much has been expended by discipline. Due to the method of financial coding and issues with the state's accounting system (CORE-CT), approximately $6.2 million was not coded by program and sub-program. Consequently, the analysis below totals $47.3 million.

In short, the largest project is the establishment of a pubic and private emergency preparedness program, while the largest category of expenditure is interoperable communications. Not surprisingly the public safety disciplines of police, emergency management, and fire received the most funding.

Table III-4. Homeland Security Funding by Project, 2004-2006

Project	State	Local	Total
Establish/Enhance Public-Private Emergency Preparedness Program	$2,669,606	$21,282,805	$23,952,412
Develop/Enhance Interoperable Communications	7,225,191	1,097,228	8,322,419
Assess Vulnerability/ Harden Critical Infrastructure	1,160,650	3,312,534	4,473,184
Establish/Enhance Regional Response Teams	439,925	2,848,791	3,288,715
Establish /Enhance Emergency Operations Center	1,718,063	1,208,949	2,927,012
Establish / Enhance Terror Intel /Early Warning System	46,858	2,229,543	2,276,401
Establish /Enhance Sustainable Homeland Security Training Program	343,365	399,006	742,370
Administer and Manage Homeland Security Grant Program	54,061	565,970	620,031
Establish/Enhance Public Health Surveillance System and Pharmaceutical Stockpile	480,799	2,971	483,770
Establish /Enhance Sustainable Homeland Security Exercise Program	181,081	75,304	256,385
Total	$14,319,598	$33,023,101	$47,342,698

Note: Actual expenses only. No encumbrances are included. Includes the State Homeland Security Grant Program, Law Enforcement Terrorism Prevention Program, Citizen Corps Program, Metropolitan Medical Response System, and Emergency Management Performance Grant. Source: DEMHS

Project. Table III-4 summarizes total federal grant expenditures by major project.14 As discussed above, a total of $47.3 million in federal funding to enhance the state's preparedness and response capabilities between 2004 and 2006 can be categorized by project. About $33.0 million (70 percent) has been spent by municipalities, and the other $14.3 million (30 percent) has been expended on state priorities.

Table III-5. Examples of State and Local Purchase by Project, 2004-2006

Project	State Level Purchases	Local Level Purchases
Establish/Enhance Public-Private Emergency Preparedness Program	Computers, laptops, detection systems (e.g. radiation dosimeters), personnel identification/security systems, personal protective equipment, search & rescue equipment, site clean-up/decontamination, traffic management, responder vehicles & trailers, generators, equipment storage.	Computers, laptops, detection systems (e.g. radiation dosimeters), personnel identification/security systems, personal protective equipment (PPE), search & rescue equipment, site clean-up/decontamination, traffic management, responder trailers, generators, and equipment storage.
Develop/Enhance Interoperable Communications	State Tactical On-scene Channels (STOCS) assigns frequencies to facilitate interoperable communications on high band UHF and 800 MHz systems, radio towers enhancements to improve range and coverage in state, anticipate procuring "black boxes" which will enable high band UHF and 800 MHz radios to talk to each other	Purchasing portable radios, mobile (walkie talkie type) radios, mobile data terminals (MDTs), Computer Aided Dispatch (CAD) systems (for individual towns and regionally), radio consoles, and repeaters to eliminate dead spots in jurisdictions
Assess Vulnerability/ Harden Critical Infrastructure	Orange Alert overtime, rail security improvements, risk assessment software, night vision and surveillance equipment, patrol vessels	Installing fencing, lighting, security systems, and surveillance cameras at municipal government buildings to increase security and prevent un-authorized entry.
Establish/Enhance Regional Response Teams	Response vehicles, trailers, tow vehicles, field testing & detection equipment, meters (gas, chemical, biological and radiation meters, including replacement tubes and chips), Level A PPE, chemical libraries (databases)	Response vehicles, trailers, tow vehicles, field testing & detection equipment, meters (gas, chemical, biological and radiation meters, including replacement tubes and chips), Level A PPE, chemical libraries (databases)
Establish /Enhance Emergency Operations Center	Installing Geographical Information System (GIS) software in the state Emergency Operations Center	High band radio equipment to link local EOCs with regional and state EOCs and other equipment
Establish / Enhance	Installing Automatic Fingerprint	Installing Automatic Fingerprint

14 Program review staff have consolidated the original 17 DEMHS project categories into 10 related project categories. For example, "Establish /Enhance Public Health Surveillance System" and "Pharmaceutical Stockpile" were two separate projects that were combined into one project

Table III-5. Examples of State and Local Purchase by Project, 2004-2006		
Project	**State Level Purchases**	**Local Level Purchases**
Terror Intel /Early Warning System	Information Systems (AFIS) within state law enforcement agencies to assist in investigations.	Information Systems (AFIS) to assist local police in investigations, providing stipends to participating towns that send police personnel to staff the Connecticut Intelligence Center (CTIC).
Establish /Enhance Sustainable Homeland Security Training Program	CT Fire Academy and Police Officers Standards and Training Council (POST) instructor costs to plan and deliver National Incident Management (NIMS) and other training.	Providing backfill and/or overtime funding to allow local staff to attend Homeland Security training.
Administer and Manage Homeland Security Grant Program	Office equipment, staff time	Enhancement of plans and development of protocols for emergency management and recovery from disasters
Establish/Enhance Public Health Surveillance System and Pharmaceutical Stockpile	Mass Color Spectrometry to identify agents of chemical terrorism and establishment of a pharmaceutical stockpile	Development of plans and protocols and a training program related to public health surveillance
Establish /Enhance Sustainable Homeland Security Exercise Program	Provide funding for a CT Fire Academy instructor to design and coordinate exercises (drills).	Providing backfill and/or overtime funding to allow local staff to attend Homeland Security exercises.
Source: DEMHS		

Examples of state and local purchases from federal homeland security funding are provided in Table III-5. The largest three project areas account for 77 percent of the funding and include:

- *Enhancement of Public-Private Emergency Preparedness Program*. At nearly $24 million, this project comprises about 50 percent of funds spent. This project includes the purchase of computers, detection systems (e.g., radiation dosimeters), personnel identification/security systems, personal protective equipment, search and rescue equipment, site clean-up/decontamination equipment, traffic management, responder vehicles & trailers, generators, and equipment storage.

- *Develop/Enhance Interoperable Communications*. This program supports the development of interoperable communications and includes the purchase of portable radios, mobile radios, mobile data terminals, Computer Aided Dispatch systems (for individual towns and regionally), radio consoles, and repeaters to eliminate dead spots in jurisdictions.

- *Assess Vulnerability/ Harden Critical Infrastructure*. This program supports the purchase of equipment to better secure municipal structures and for the purchase of equipment to improve the ability of state and local law enforcement to surveil and protect critical infrastructure. This program does not include the buffer zone protection program funding, described above.

Table III-6. Homeland Security Expenditures by Sub-Program, FY 2004-2006	
Sub-Program Category	**Amount**
Interoperable Communications Equipment	$ 12,454,357
Physical Security Enhancement	4,537,667
CBRNE Logistical Support*	4,206,247
Other Authorized Equipment	3,949,256
CBRNE Search and Rescue Equipment	3,437,542
CBRNE Incident Response Vehicle	3,403,558
Medical Supplies and Pharmaceuticals	1,983,718
Develop / Enhance Plans and Protocol	1,628,406
Intervention Equipment	1,606,527
Personal Preventive Equipment (PPE)	1,577,785
Terror Incident Prevention	1,532,592
Training Course / Program Development	1,211,252
Detection Equipment	1,037,344
Citizen Corps Public Education	781,298
Orange Alert Overtime	755,949
Explosive Mitigation / Remediation	503,723
Training Overtime	421,312
CBRNE Response Watercraft	390,945
Develop / Coordinate Plans & Programs	342,168
Decontamination Equipment	277,515
Exercise Program Development	266,842
Establish / Enhance / Evaluate Citizen Corps Program	222,125
CERT Team Responder Equipment	187,059
Develop or Conduct Assessments	145,526
Information / Investigation / Intelligence	126,758
Agricultural Terror Prevention Response	105,047
Exercise Overtime	101,689
Training Backfill	70,895
Cyber Security Enhancement	39,300
CBRNE Reference Materials	23,154
Exercise Backfill	15,142
Grand Total	$ 47,342,698
* CBRNE = Chemical, Biological, Radiological, Nuclear, Explosive Source: DEMHS	

Sub-Program. Table III-6 shows homeland security expenditures by sub-program for FY 2004 through 2006. The four largest categories accounted for 53 percent of total funds expended. The largest categories are listed below along with the top expenditures in each category.

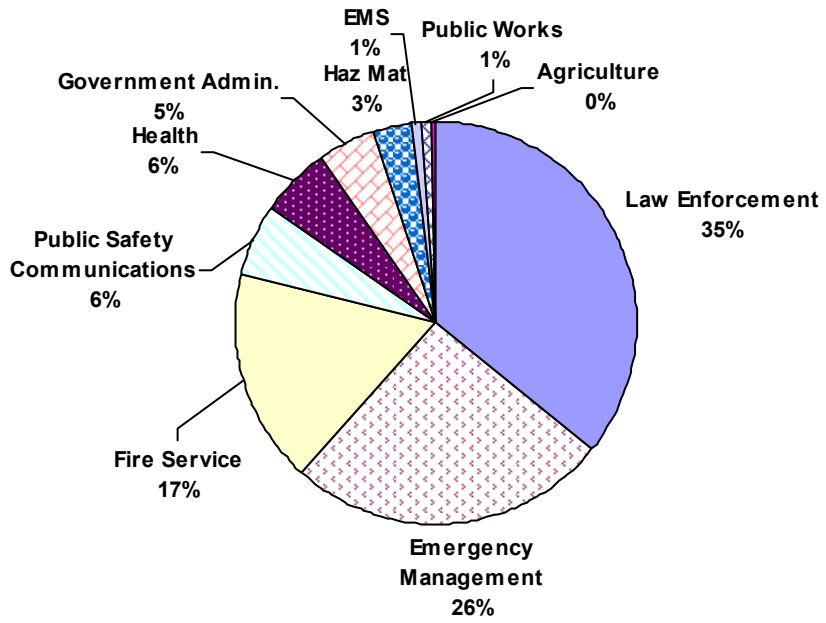
- *Interoperable Communications Equipment* - microwave towers and accessories, low power crossband/ multiband system, Connecticut State Police Emergency Radio Network, portable radios, and dispatch console.

- *Physical Security Enhancement* - access control systems, closed circuit television systems, and surveillance cameras.

- *Chemical, Biological, Radiological, Nuclear and Explosive (CBRNE) Logistical Support* - Geographical Information System project, electronic road alert signs, credentialing systems, generator, and command trailer.

- *Other Authorized Equipment* - Cots for sheltering and evacuation, generator for shelter, computer equipment for emergency operations center, military grade parks, and all-weather pants and liners for Joint Terrorism Task Force.

Figure III-2. Homeland Security Expenditures by Discipline 2004-2006



Discipline. Figure III-2 shows how homeland security funds for FY 2004-2006 have been expended by discipline. Of note is the wide range of disciplines who have received homeland security funding from the traditional public safety area to health, public works, and agriculture. As one would expect, law enforcement, emergency management, and fire service account for 78 percent of the total funding.

Chapter IV

HOMELAND SECURITY PLANNING PROCESS

Since 2001, federal planning requirements for homeland security have become more comprehensive and complex. States have been required to perform assessments as well as submit strategies and different types of funding justifications at various times to satisfy an evolving framework of federal administrative requirements.

Federal homeland security grant guidelines have required each state to periodically conduct need and capability assessments, often based on self-assessments of threats and vulnerabilities. State agencies as well as municipal fire, police, emergency management, and public health personnel have, from time to time, been directed to collect the required data.

Based on these assessments, states were also required to develop multi-year, comprehensive preparedness strategies to guide the targeting of grant funds. These strategies must mesh with federal grant requirements, whose emphasis can change annually. In addition, while federal funding commitments have declined, the method used by the federal Department of Homeland Security to allocate the discretionary amounts in federal homeland security grants (i.e., over the guaranteed base amount) has become more targeted through an approach based on risk and effectiveness.

Since 1999, Connecticut has crafted four state homeland security strategy documents and conducted three needs and capability assessments. Generally, each of these efforts involved: completing statewide assessments; drafting of a strategy by a select sub-group (assisted by a lead state agency); and approval or endorsement of that strategy by an oversight or advisory board.

Below is a summary of each of these efforts, along with an outline of the major federal planning requirements and the key participants in the process. In addition, a description of the current federal funding methodology and the various methods used to distribute the federal money to municipalities is provided. A listing of the state's homeland security strategies by year is contained in Appendix E.

1999 - Office of Emergency Management

In 1999, states were directed by the federal Office of Domestic Preparedness to conduct an assessment of threats, vulnerabilities, capabilties, and needs, and then develop a three-year (1999 to 2001) interagency, government-wide implementation strategy to meet statewide needs (later extended to 2003). The needs assessments were to identify appropriate equipment, training, and preparedness exercises required to address any gaps in capabilities given the threats and vulnerabilities of each state.

In Connecticut, the Office of Emergency Management within the Military Department was designated as the lead coordinating agency for this effort. A Senior Steering Council (SSC) was created in May 2000 to advise the governor on plans and policies related to counter-terrorism preparedness. The SSC, chaired by the adjutant general of the Connecticut National Guard, advised

OEM during this process. The council included six state agencies, as well as representation from municipal law enforcement and other first responder agencies. OEM created an interagency Statewide Domestic Preparedness Weapons of Mass Destruction Working Group (WMDWG), to ensure that assessment and planning activities were well coordinated. The WMDWG had representatives from five state agencies, the fire and police chiefs' associations, a HAZMAT unit, and the Federal Bureau of Investigation. The WMDWG assisted each municipality complete the required assessments.

The Statewide Domestic Preparedness Strategy was developed by the WMDWG, with guidance from OEM, from the issues raised and information gathered during the assessment process. The strategy was revised based on feedback from the SCC in November 2001.

The preparedness strategy, completed in December 2001, identified 11 goals and 43 objectives. Overall, the priorities contained in this initial strategy focused mostly on response and recovery capabilities for specific jurisdictions and were designed to:

- improve the capabilities of the six largest municipalities, the state's largest airport, and two resort areas;
- improve the capabilities of the three exiting regional hazardous material teams, as well as the capabilities of four state agencies that provide statewide weapons of mass destruction field response;
- provide basic equipment and training to all professional first responders in WMD incident response and establish 25 basic and nine enhanced mass decontamination teams; and
- provide basic equipment and training to remaining first responders in WMD incident response, and upgrade the first responder capabilities of any interested jurisdiction in WMD response.

2003 and 2004 – Division of Homeland Security

In order to obtain FY 2004 federal homeland security funding, states were required to update their assessment data to reflect "post-September 11, 2001 realities" and identify progress on the priorities outlined in their initial homeland security strategies using a more refined assessment tool. Similar to the earlier effort, each of the states' 169 municipalities and two tribal nations were required to conduct both a risk and needs assessment. Beginning in August 2003, municipalities were asked to collect and enter assessment information on-line using a secure data collection tool. The risk assessment included an evaluation of threats and vulnerabilities, while the needs assessment consisted of a comparison of required capabilities to current capabilities given certain planning factors.

The OEM, however, was no longer the State Administrative Agency for the federal Homeland Security Assessment and Strategy Program. In August 2001, the governor created the Division of Protective Services within the Department of Public Safety, subsequently renamed the Division of Homeland Security, to identify, develop, and implement strategic preventative and

reactionary plans specific to public safety concerns. The Office of Emergency Management worked in conjunction with the division on conducting the assessment and reviewing the strategy.

A working group, consisting of representatives from eight state agencies, was assembled to assist in the coordination and development of the state's assessment and strategy. A broader group was also consulted to review the state's strategy, which included the police and fire chiefs' associations, Regional Planning Organizations, emergency medical care community, the tribal nations, and the Connecticut National Guard. The group reviewed the prior strategy, maintained a number of goals, and formulated new goals and objectives to continue the improvement of the state's capabilities. The Senior Steering Council, at this time now chaired jointly by the state's homeland security director and the adjutant general, approved the strategy. The municipal assessment data were submitted simultaneously with the state strategy. Consequently, the data were not used in developing the strategy.

Connecticut's strategy was submitted to the federal Office of Domestic Preparedness on January 27, 2004. One-hundred and fifty jurisdictions of the 171 participated (i.e., 169 towns and two tribal nations). Connecticut's submission was one of 19 that was approved by DHS without conditions.

The revised state strategy focus was much broader than the initial strategy and contained nine goals and 61 objectives. Eight of the goals in the previous strategy were eliminated, three were retained, and six goals were added, including two that addressed prevention strategies to protect the state's assets and its citizens.

2005 through 2007 – Department of Emergency Management and Homeland Security

Several notable changes were initiated by DHS from 2005 through 2007 that affected the development of state strategies and how homeland security funding was allocated among the states. DHS directives in 2005 combined with planning guidance for the FFY 2006 Homeland Security Grant Program required that the state:

- revise its homeland security strategy to align with the National Preparedness Goal (NPG) issued in 2005;
- perform a program and capability review to assess statewide preparedness needs by reviewing existing programs and capabilities;
- submit a program and capability enhancement plan; and
- provide formal investment justifications for priorities identified during the development of the program and capability enhancement plan.

Further, a new and more comprehensive funding methodology was developed by DHS. In 2006 and 2007, each state received a base amount of homeland security funding and any additional funding was based on assessments of risks and perceived effectiveness of strategies in addressing needs in each state.

In addition, in 2005, the State Administrative Agency for homeland security was changed again as the state consolidated the Office of Emergency Management and the Department of Public Safety's Division of Homeland Security into the Department of Emergency Management and Homeland Security. The same legislation also created the Emergency Management and Homeland Security Coordinating Council, which advises DEMHS, and effectively eliminated the Senior Steering Council. Within DEMHS, the Strategic Planning and Grants Administration, a seven-person office that reports to the commissioner, is responsible for applying for and administering federal grants.

National Preparedness Goal. On March 31, 2005, DHS issued the National Preparedness Goal (NPG) to provide a collective vision and a common nationwide approach to preparedness. In August 2005, DHS required that the state's homeland security strategy be aligned with the new federal doctrine of preparedness and federal priorities. Significantly, the National Preparedness Goal, instead of focusing solely on terrorism concerns, promotes an "all-hazards" approach (i.e., preparedness for domestic terror attacks, major disasters, and other emergencies) regarding the four core preparedness objectives of preventing, protecting against, responding to, and recovering from terrorist attacks and catastrophic natural disasters.

As illustrated in Figure IV-1, the National Preparedness Goal establishes a vision for preparedness and provides a set of tools that establish measurable priorities, targets, and a common approach to developing needed capabilities. These tools are described below.

- *15 national planning scenarios (NPS):* highlight the scope and complexity of plausible terrorist attacks or major disasters (12 are terrorist-related scenarios, such as a chemical or radiological attack, and three are natural disasters, such as a hurricane). The NPS are intended to be a reference resource to government agencies to help evaluate and improve capabilities. Appendix F contains the full list of planning scenarios.

- *The universal task list (UTL):* provides a listing of 4,800 discrete tasks that may need to be performed in major events illustrated in the national planning scenarios. The UTL is intended to be a reference resource to government agencies to help evaluate and improve capabilities.

- *The target capabilities list (TCL):* provides guidance on 37 specific capabilities that federal, state, and local governments will be expected to develop and maintain in order to prevent or respond to major catastrophe outlined in the 15 scenarios. Appendix G contains the list of the 37 target capabilities.

From this framework, the federal Department of Homeland Security has established seven priorities. Three are *overarching priorities*, which contribute to the development of multiple capabilities, and four are *capability-specific priorities* that, according to DHS, focus on building capabilities the nation needs the most. The four capability-specific priorities are aligned with eight of the 37 *target* capabilities in the TLC as shown in Table IV-1. *These eight capabilities are the focus of the capability review described further below.*

Figure IV-1
Federal Goals

Vision for the National Preparedness Goal
To engage federal, state, local, and tribal entities, their private and non-governmental partners, and the general public to achieve and sustain risk-based target levels of capability to prevent, protect against, respond to, and recover from major events

Planning Tool

- 15 National Planning Scenarios
- Universal Task List (4,800 tasks)
- Target Capabilities List

Seven National Preparedness Priorities

Three o*verarching priorities*
1. Implement National Incident Management System (NIMS) and National Response Plan*
2. Expand regional collaboration
3. Implement National Infrastructure Protection Plan

Four *capability-specific priorities* – strengthen:
4. Information sharing and collaboration capabilities
5. Interoperable Communications
6. Chemical, Biological Radiological, Nuclear, and Explosive (CBRNE)

State Goals

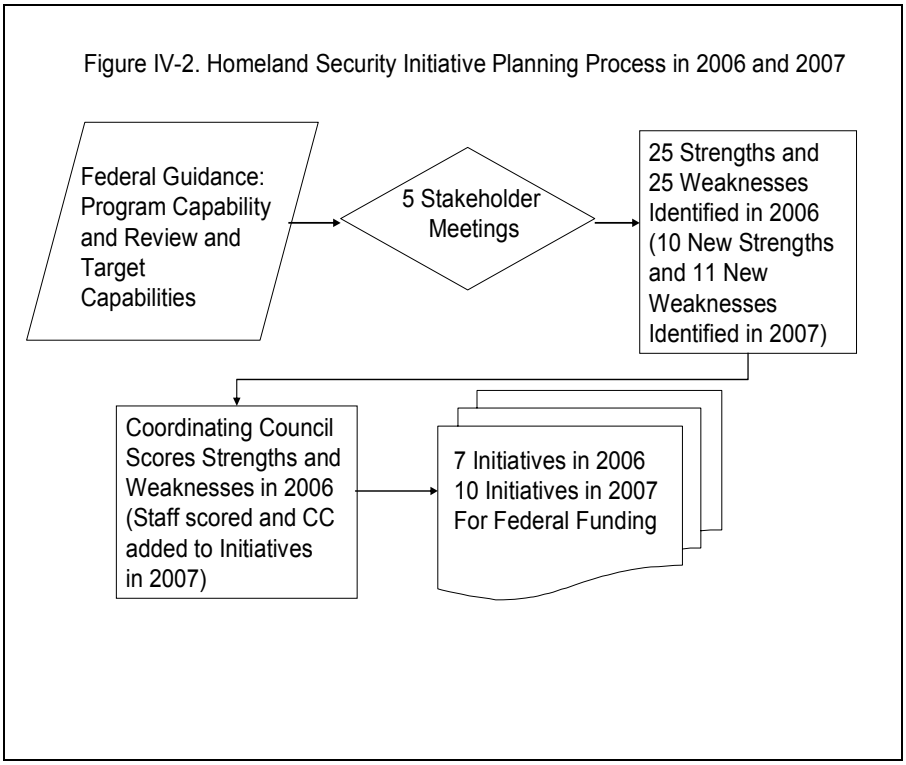
#	STATE GOALS (2007-2011)	Number of Objectives per Goal	How state objectives relate to Seven National Priorities
1	Improve abilities of emergency responders to identify and respond to an all-hazards incident man-made or natural	13	1,2,5,6,7
2	Develop a comprehensive CBRNE incident response and contingency plan	22	1,2,6,7,
3	Improve critical incident management and response through the implementation and use of the NIMS	9	1,2
4	Maximize utilization of all available funding through coordinated leveraging, pooling and disbursement of budgetary resources	2	n/a
5	Enhance existing statewide communications systems	5	4
6	Enhance public safety through hardening of critical infrastructure sectors (i.e., security)	6	3
7	Develop a self-sustaining training program for all all-hazards preparedness	9	2,4,6
8	Enhance capabilities to conduct proactive interdictions and investigations to prevent and mitigate terrorism incidents	3	4
9	Develop a comprehensive all all-hazards recovery plan	3	1
10	Engage the general public, educational systems and private sector in all all-hazards prevention, planning, response, and recovery	7	2,4

* The National Response Plan establishes the framework through which federal , state, local and tribal entities operate when a catastrophe occurs. The National Incident Management System (NIMS) identifies standard operating procedures and approaches to be used by respondent agencies as they work to manage the response to a catastrophe. Source: LPR&IC based on federal and state documents

Table IV-1. Link Between Capability-Specific National Priorities and Priority Target Capabilities	
Four Capability-Specific National Priorities	**Eight Priority Target Capabilities**
Strengthen Information Sharing and Collaboration Capabilities	• Intelligence/Information Sharing and Dissemination • Law Enforcement Investigation and Operations
Strengthen Interoperable Communications	• Interoperable Communications
Strengthen Chemical, Biological Radiological, Nuclear, and Explosive (CBRNE) Detection, Response, and Decontamination Capabilities	• CBRNE Detection • Explosive Device Response Operations • WMD/Hazardous Materials Response & Decontamination
Strengthen Medical Surge and Mass Prophylaxis Capabilities	• Medical Surge • Mass Prophylaxis
Source: DHS	

Staff from DEMHS reviewed the goals and objectives of the 2004 state homeland security strategy and integrated them with the NPG and the seven national priorities. Figure IV-1 also shows the relationship between the national goals and state goals. The revised state strategy contained 10 goals and 74 objectives. One goal, involving engaging the public in preparedness activities, and 13 objectives were added to the 2004 strategy. The strategy was endorsed by the coordinating council on September 8, 2005.

Figure IV-2. Homeland Security Initiative Planning Process in 2006 and 2007



Capability and assessment plan. In 2006, the Department of Emergency Management and Homeland Security, as required, conducted a capability and assessment review, developed an enhancement plan with input from stakeholders15 based on the review, and identified seven initiatives that provided "investment justifications" for federal funding. In 2007, essentially the same procedure was used. The process illustrated in Figure IV-2 is summarized below.

- DEMHS conducted five stakeholder meetings in January 2006 with over 100 participants to identify strengths and weaknesses in Connecticut's capabilities compared to the federal government's eight target capabilities and four additional capabilities selected by the stakeholders.16 The additional capabilities include: Urban Search and Rescue, Intelligence Analysis and Production, Critical Infrastructure Protection, and Medical Supplies Management and Distribution.

- Stakeholders developed 25 strengths (preparedness elements to maintain) and 25 weaknesses (preparedness elements to improve) based on their own experiences and expertise. No comprehensive assessment of what effect a catastrophe, like those outlined in the 15 planning scenarios, would have on Connecticut currently exists.

- The coordinating council used a process to score and rank each of the 25 strengths and 25 weaknesses identified by the stakeholders during a prioritization meeting on February 14, 2006.

- The ranked strengths and weaknesses were integrated into an enhancement plan containing seven initiatives. These initiatives are the near-term priorities for federal funding. These initiatives include:
  - expanded regional collaboration;
  - interoperable communications and State Interagency Coordination Center;
  - expanding the Connecticut Intelligence Center into a fusion center;
  - providing a secure communications network;
  - natural disaster and CBRNE preparedness;
  - medical preparation and response; and
  - all-hazards planning and public/private outreach.

15 Stakeholders included members of local law enforcement agencies, fire departments, Regional Planning Organizations, hospitals, city officials, private security firms, the Connecticut Intelligence Center, six state agencies, tribal nations, the U.S. Attorney's office, the Coast Guard, and the FBI.

16 According to federal planning guidance, "capabilities are a combination of resources that provide a means to achieve a measurable outcome." Department of Homeland Security, *State Homeland Security Program Capability Review Guidebook*, Volume 1, October 2005.

- DEMHS requested $30 million in 2006 and was awarded $13.5 million. The budget was revised by a stakeholder working group and forwarded to the coordinating council. The spending was reduced for all initiatives and one initiative, proving a secure communications network, was eliminated.

In 2007, a similar process was followed except that the staff from DEMHS performed the final ranking for 22 additional strengths and weaknesses identified by stakeholders. The coordinating council added the strengths and weakness to the existing six 2006 initiatives. As a result, the initiative of providing a secure communications network was added back in. Two additional initiatives, interstate coordination and "REAL ID" implementation,17 were added, based on federal requirements, and a third was added at the request of the Department of Public Health regarding interstate coordination of pandemic influenza. This resulted in a total of 10 initiatives. The department requested $27 million for 2007 and received about $10 million. Based on that reduction, DEMHS is in the process of determining cuts in programming and if any of the initiatives will be eliminated.

The statewide strategy was adjusted by revising some of the objectives under the goals to align with the 2007 grant investment justifications. The same 10 goals from 2006 remained but the objectives were increased from 74 to 78. The revised strategy was endorsed by the coordinating council on March 8, 2007, within the context of the FFY 2007 Homeland Security Grant Application. The state strategy was approved by DHS on April 4, 2007.

Federal Funding Methodology

As noted earlier, federal homeland security allocations include a minimum statutory base amount of funding for each state and an amount that is established by DHS. As Figure IV-3 illustrates, 40 percent of overall funding is included in the base amount and 60 percent is based on a formula. The formula portion of the funding allocation for FFYs 2006 and 2007 is based on two factors: 1) an analysis of risk;18 and 2) the anticipated effectiveness of grant proposals to address identified homeland security needs. The amount of funding is weighted 2/3 on risk and 1/3 on effectiveness. The level of risk was determined by DHS and the effectiveness was scored by peer reviewers.

Risk analysis. The Department of Homeland Security defines risk as the product of three variables:

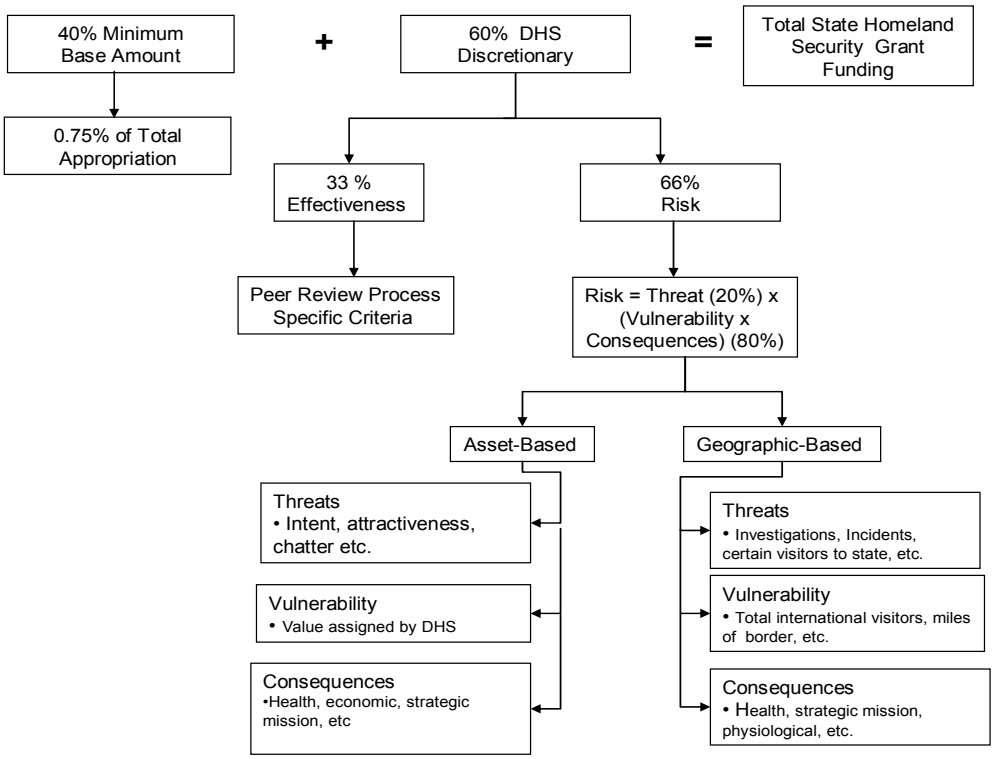
- *threat,* or likelihood of a type of attack that might be attempted;
- *vulnerability*, or likelihood that an attacker would succeed; and
- *consequence*, or potential impact of a particular attack.

17 The federal REAL ID act requires those applying for a driver's license to submit a certified copy of a birth record and the Department of Motor Vehicles will be required to electronically verify that the birth record is valid. Connecticut is required to comply with this federal mandate by December 31, 2009.

18 The risk methodology has evolved over the last six year from a very simple formula where risk was essentially equated to population to the one described above.

The risk formula consists of making two calculations: risk to assets and risk to geographic areas. Under the asset-based approach, strategic *threat* estimates are used from the intelligence community of an adversary's intent and capability to attack different types of assets (e.g., chemical plants, stadiums, and airports) using different attack methods. *Vulnerability* of each asset type relative to each attack method is analyzed to determine the form of attack to be the most successful, and *consequences* are estimated by DHS by each asset type, including human health, economic, strategic mission, and psychological impacts.

Figure IV-3. Federal Funding Allocation, 2006 and 2007



The geographic-based approach assesses the characteristics of an area independent of assets in the area. The DHS first evaluates *threats* (reported threats and suspicious activity, FBI and Immigration and Customs Enforcement terrorism case data) that are linked to a particular geographic area. *Vulnerability* factors are identified and considered, such as proximity to international borders. Finally, potential *consequences* are estimated of an attack on the area, including human health, economy, strategic mission, and psychological impacts.

These factors are combined to produce an estimate of the relative risk of terrorism faced by a given area. The threat score is weighted at 20 percent and vulnerability and consequences together are weighed at 80 percent. The formula is calculated by DHS for every state. The risk formula described here is largely based on the 2006 formulation. While the 2007 formula appears to be

similar, a number of refinements were implemented. This included the use of an expanded set of data sources.19

Connecticut's risk score. Thus, the risk score for Connecticut is based on the assessment of the risk to individual assets in the state and the risk to the geographic area itself. In DHS' comparative risk analysis, each risk area (asset and geographical) as well as the sum of both scores places each state and U.S. territory in one of four categories – top 25 percent, top 50 percent, bottom 50 percent, or bottom 25 percent.

The following risk analysis summary is based on the results from 2006. According to DEMHS, the federal government did not provide a risk score to the state for 2007. DEMHS was unable to obtain the 2007 risk score, when requested by the program review committee.

- *Asset risk-analysis*. Just over 2,300 assets in Connecticut met the criteria for inclusion in the asset analysis.20 When the asset analysis was conducted, the state of Connecticut fell in the bottom 50 percent of all states meaning that the risk associated with individual assets in the state was lower than half of all the states. The criteria for inclusion in the asset risk analysis are fairly high. For example, while banking and financial facilities are significant to the Connecticut economy, none of these facilities were include in the analysis.

- *Geographic risk- analysis*. In the geographic analysis, Connecticut fell within the top 50 percent of the states, meaning that it had a higher level of risk related to reported threat and investigative activity, resident and visitor population, and other geographic criteria than at least half the states.

- *Total risk*. When both scores for asset- and geographic-based risk are aggregated, Connecticut was placed in the bottom 50 percent of states.

It is worth noting that DHS' risk assessment methodology is focused on countering terrorism, while the State Homeland Security Grant Program, results of the assessment of capabilities, and the state strategy, go toward supporting the implementation of the all-hazards National Preparedness Goal.

Connecticut effectiveness score. The method used by DHS to determine effectiveness scores involved the use of a peer review process. More than 100 peer reviewers participated in the process and included incident managers, fire chiefs, law enforcement personnel, grant managers, and state and local emergency management personnel. Peer reviewers rated the investment justifications independently to determine a preliminary effectiveness score for each state. Panels were then convened to discuss the findings of the reviews and develop final scores. The reviewers based the

19 Congressional Research Service, *The Department of Homeland Security's Risk Assessment Methodology: Evolution, Issues, and Options for Congress*, Report RL33858, February 2, 2007

20 DEMHS staff have noted that 237 high hazard dams, which should have been included in the list of assets, were not included in 2006. Those assets should have been included in 2007. DEMHS does not believe the score would have changed dramatically with the inclusion of such assets

evaluations on specific criteria: relevance, regionalization, sustainability, implementation approach, and impact.

Connecticut's effectiveness score has been fairly high and has improved over the two-year period. In FFY 2006, Connecticut scored in the 74th percentile of all state submissions. In FFY 2007, Connecticut scored 92 compared to the national average of 82, placing it in the 80th percentile.

Distribution of Federal Funding to Municipalities

As mentioned earlier, the statewide homeland security strategy is the guiding document that describes how the state will meet its preparedness needs. The principal objects of expenditure include equipment, training, exercises, planning, and administration. The principal sub-grants of the Homeland Security Grant Program – the State Homeland Security Grant Program and the Law Enforcement Terrorism Prevention Program -- fund the purchase of equipment and other activities through the state and require that at least 80 percent of the allocation be spent on local needs.21 The municipal/state breakdown for the total amount spent from currently active federal funds (i.e., 2004 through 2007), is 71 percent local and 29 percent state. There have been several different funding mechanisms used to distribute grant money from the state to Connecticut municipalities.

Early years (1999 through 2003). In the early years of the federal government's homeland security grant program, municipalities did not get cash grants directly from the state. At the time, the Division of Homeland Security (and OEM before 2002) used the money to purchase equipment and distributed it to the towns. Typically, the money went toward the purchase of personal protective equipment for first responders and metering packages that included instruments to detect various toxic gases and radiation. Personal protective equipment is designed to protect emergency personnel responding to incidents involving chemical or biological weapons.

The initial distributions went to the larger municipalities first and to enhance the capabilities of certain regional response teams. Subsequent distributions to municipalities were based on need. For example, in FY 2003, the DPS' Division of Homeland Security purchased:

- 11,848 pieces of personal protective equipment for first responders;
- 142 basic metering packages for municipalities;
- hazardous material metering packages for 15 municipalities;
- 300 portable radios (ITAC/ICALL) for municipal police chiefs, fire chiefs, and emergency management officials;
- mobile radio stations for 140 primary and secondary public safety communications centers;
- bomb trucks for New Haven and Stamford and a bomb robot for Hartford;

21 A much smaller grant program, Citizen Corps, awards a set amount to municipalities for local citizen corp committees and regional citizen corp committees based on the funding available. For example, in FY 2004 the local committees received $5,000 each, and the regional committees received $25,000 each. A full explanation of this grant program is found in the previous chapter.

- mobile decontamination trailers for 12 municipalities; and
- pharmaceuticals for 31 acute care hospitals.

Mid-years (2004 through 2006). Beginning in 2004, municipalities began receiving cash grants directly. From 2004 through 2006, the amount of funding given to local jurisdictions through the State Homeland Security Grant Program included a base amount for each municipality (e.g., $20,000 in FY 04, $3,000 in FY 06) and a per capita amount (e.g., $3.54 in FY 04, 24.8 cents in FY 06). Large cities also received an extra allotment ($118,372) in FY 04.

Local jurisdictions had three options to administer their funds in 2004 and 2005:

- administer the funds themselves and assume all grant reporting requirements;
- ask the state to administer the funds and assume all administrative oversight through a memorandum of understanding; or
- designate the relevant Regional Planning Organization to administer the funds and perform all administrative functions on behalf of its member jurisdictions.

In 2005, 127 jurisdictions elected state administration, four jurisdictions elected self-administration, and 40 jurisdictions elected to designate a RPO.

The law enforcement grant, LETPP, was distributed to municipalities on a so-called "per Copita" basis. Each municipality received $715 per full-time police officer in FY 2004 and $224 in FY 2006.

In 2006, homeland security grants could be administered by the municipality, administered regionally by a RPO, or a combination of the two. A state-administered grant was no longer an option. Because of the federal priority to expand regional collaboration, an incentive was added to 2006 funding to encourage municipalities to designate a RPO to administer all of their funds. The RPOs were eligible to receive $2,000 for each municipality that designated the RPO as the administrator of funds up to a total of $75,000. Sixty-three towns and one tribal nation decided to administer the funds on their own, 105 towns and one tribal nation decided to designate their RPO as administrator of the funds, and one town decided to use a combination.

Municipalities were allowed to purchase any equipment they thought was necessary to improve their preparedness needs as long as the purchases were in compliance with the State Homeland Security Strategy and conformed to the federal authorized equipment list to ensure standardization of equipment. In FYs 2006 and 2007, local purchases were limited to the activities in any of initiative areas and had to comport with federal authorized equipment lists. DEMHS also mandated in 2006 that each municipality have a particular piece of equipment -- a high-band radio connection with its regional DEMHS office.

Generally, municipalities or RPOs are allowed to purchase equipment on a reimbursement basis or receive a cash advance for up to 120 days to make a purchase. DEMHS requires all subgrantees to report on the status of all projects as well as outlays and expenditures on a quarterly basis, and requires the submission of a property inventory report at the conclusion of any project.

Current (2007*)*. In continuing recognition of the federal requirement to encourage regional collaboration and planning, FFY 2007 federal funds will be allocated using a regional approach.[22] The regional mechanisms for this funding initiative are the five DEMHS regions, not the state's 15 RPOs, which had been used on voluntary basis in the past. DEMHS' goal is to have the regions identify preparedness needs through a SWOT analysis,[23] and then develop priorities, regional budgets, and emergency operations plans. In addition, the regions will be expected to perform an inventory of various emergency response equipment in each municipality.

The regional structure relies on the identification of a single RPO for each of the five regions to act on behalf of the entire region. This "coordinating RPO" is expected to work with a Regional Emergency Planning Team (REPT) that will oversee the development of spending and operations plans. The intent is that the membership of each REPT will reflect both the geographical areas within the region (i.e., chief elected officials), as well as the emergency management disciplines within the region.

Each REPT will establish subcommittees to conform to the 15 emergency support functions (ESF) that are articulated in the National Response Plan. The emergency support function is defined by DEMHS as a "disciplined-oriented work group" intended to "foster a collaborative planning within a particular discipline." For example, municipalities have different local law enforcement agencies. Under the ESF concept, these law enforcement agencies all function as one under ESF-13. Some ESFs may be state-level functions, such as Urban Search and Rescue, and would not require a subcommittee at the regional level.

Ultimately, the membership of each REPT will be based on the particular by-laws that are currently being developed within each region. Some regions are considering a REPT steering committee and the REPT would be made up of the chief elected officials of each town within the region. In this case, the REPT would meet less frequently to review and approve the recommendations of the steering committee.

DEMHS staff are expected to assume an advisory role in this process. If, however, a region does not assign a coordinating RPO, DEMHS will serve as the administrative entity. Each region will receive up to $125,000 to support planning efforts. In addition, after a plan has been developed, each region will receive a base amount of $800,000 and an additional amount based on the relative threat and vulnerability in each region.

The relative threat to each region is based on risk assessment that relied on past assessment information of infrastructure sites that was updated by each municipality in December 2006. The updated information was entered into analysis software that evaluates each site on the basis of several factors, including accessibility, vulnerability, recognizability, and criticality (i.e., value). Each site's factor is given a score and the multiple scores are entered into a decision matrix, which calculated a target ranking. The sum of the rankings within each municipality represents the town's risk assessment. Each region's assessment is the total of its constituent towns.

22 The first distribution of FFY 2007 grant money is to be awarded on October 15, 2007, to the regions.
23 Strengths, Weaknesses, Opportunities, and Threats (SWOT)

Chapter V

COUNTER TERRORISM DIVISION

The Counter Terrorism Division of DEMHS contains many of the functions traditionally considered to be the core of the homeland security mission. Its principal unit functions are:

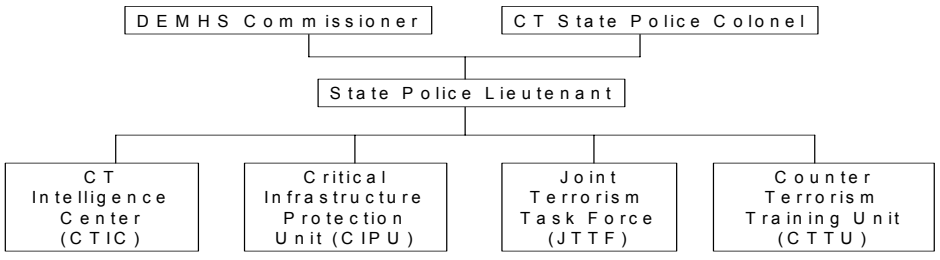
- *Connecticut Intelligence Center (CTIC)*: an intelligence center staffed by local, state, and federal law enforcement personnel who collect, analyze, and disseminate information on criminal and terrorism-related activities.

- *Joint Terrorism Task Force (JTTF)*: a law enforcement unit that uses a multi-agency approach to investigating and combating terrorism.

- *Counter Terrorism Training Unit (CTTU):* provides for the development and implementation of antiterrorism training and education programs. Currently, this unit is not staffed.

- *Critical Infrastructure Protection Unit (CIPU)*: identifies, assesses, and categorizes critical assets within the state and develops plans to improve the security at those sites. (This unit is discussed in the following chapter.)

Figure V-1. DEMHS Counter Terrorism Division



These functions previously resided in the former Division of Homeland Security within the Department of Public Safety (DPS). The division works with a range of local and federal agencies in combating terrorism. As illustrated in Figure V-1, the division is headed by a lieutenant who reports to both the state police colonel and the commissioner of DEMHS.

Connecticut Intelligence Center

Successful counterterrorism efforts require the coordinated efforts of federal, state, tribal, local, and private sector agencies. Together, these entities must create an integrated and standardized network to share information to ensure that a multitude of classic stovepipe operations do not exist. This integration concept is known as fusion.

The Connecticut Intelligence Center is part of the fusion endeavor to produce a collection of information from various sources, analyze the information to develop actionable intelligence, and share the intelligence across jurisdictional and disciplinary lines. This multi-agency center is currently located at the FBI's Connecticut office in New Haven.

Although the federal government has recognized the importance and necessity of intelligence and information sharing, guidance in this area only recently emerged. In 2006, the federal Department of Homeland Security and the Department of Justice (DOJ) collaborated to develop fusion center guidelines. The following chapter examines CTIC's adherence to some of these guidelines as well as the status of its goals and objectives.

Mission statement. According to the federal government, "a fusion center is an effective and efficient mechanism to exchange information and intelligence, maximize resources, streamline operations, and improve the ability to fight crime and terrorism by analyzing data from a variety of sources."24 The federal guidelines recommend developing a mission statement and identifying goals for the fusion center. The fusion center's mission statement must be clear and concise and convey the purpose, priority, and role of the center.

The current CTIC mission statement revised in May 2007 is presented below. As the mission statement reveals, the purpose of CTIC is to serve as the focal point for collection, analysis, sharing, and dissemination of information relevant to threats or attacks of a terrorist or criminal nature within and against the state of Connecticut, its citizens, or its infrastructure.

CTIC Mission Statement

The Connecticut Intelligence Center is the primary multi-agency intelligence operation representing various jurisdictions. CTIC serves to collect, analyze and disseminate both criminal and terrorism-related intelligence to all law enforcement agencies in the State of Connecticut. The CTIC takes an all crimes approach to intelligence. The CTIC will also endeavor to identify emerging threats or crime trends and serves as a statewide central resource to effect intelligence sharing. CTIC is Connecticut's primary Fusion Center.

Goals and objectives. The CTIC policy board, which is chaired by the DEMHS commissioner, has established eight goals regarding intelligence and information sharing. *Overall, most of the basic objectives related to establishing an intelligence center in Connecticut have been*

24 Department of Homeland Security and Department of Justice, *Fusion Center Guidelines* (August 2006), p.2.

met. These goals, along with the status level assessed by the program review staff, are presented in Table V-1. As the table shows, *two of the eight CTIC policy goals have been completed; two goals are partially met; and four goals are ongoing.* Further discussion of these goals is provided throughout this chapter.

Table V-1. Status of CTIC Policy Board Short-term Goals

Status	CTIC Policy Board Short-term Goals
Complete	1. Intelligence Liaison Officers (ILOs) have been identified and assigned in all law enforcement agencies. 2. Each DEMHS region has a designated Regional Intelligence Officer (RILO).
Ongoing	3. Various efforts continue to maintain and enhance communications with law enforcement agencies including publishing weekly bulletins along with other products and holding conferences. 4. CTIC has established relationships with a wide range of organizations including DHS, FBI, and the private sector (Infraguard) as well as others that will be useful as information sources to contribute to intelligence networking. 5. Currently, teleconferences with other national organizations occur on a bi-weekly basis, allowing participating organizations to share and exchange intelligence products and minimize duplication. 6. CTIC continues to be involved in the collection, analysis, and dissemination of intelligence with emphasis on detection and prevention of criminal, gang, or terrorist activity.
Partial	7. Discussions with the Connecticut State Police have begun regarding the establishment of a computer link to New England State Police Information Network (NESPIN) as the central platform for secure and timely information collection, analysis, and dissemination throughout the state and nation. Further progress is anticipated when CTIC relocates to the Hartford headquarters. 8. Work is underway to ensure connectivity with the Homeland Security Information Network (HSIN- unclassified) and the Homeland Security Database Network (HSDN –classified).

In addition to the CTIC policy board goals, the program review committee examined the goals and objectives regarding CTIC contained in the State Homeland Security Strategies for 2003, 2006, and 2007, as well as the related internal strategic goals and objectives for this area established by DEMHS. A full listing of these goals is provided in Appendix H.

The SHSS and DEMHS strategy documents establish one consistent goal in this area and that is to "enhance intelligence capabilities." The committee findings regarding the seven objectives that support this goal are presented in Table V-2. As the table shows: *one of the seven objectives regarding intelligence and information sharing has been completed; four objectives are ongoing; one objective is partially completed; and one has not yet started.*

Table V-2. Status of SHSS and DEMHS Intelligence and Information Sharing Objectives

Status	Objectives for Intelligence and Information Sharing
Completed	1. Standards and security protocols for intelligence information have been developed and adopted.
Ongoing	2. CTIC has most of the components of a fully functioning fusion center. Certain aspects such as partnerships with multi-disciplines (fire, health, and medical) are evolving. 3. CTIC, in conjunction with other law enforcement and intelligence agencies including the FBI, continue to identify and address terrorist threats and activities. 4. JTTF continues to operate both a domestic and international unit. 5. The Homeland Security Information Network is operational and has been made available to various first responder groups.
Partial	6. One objective is to establish a 24-hour watch desk to serve as a single point of contact for state assets that will monitor international, national, and state incidents. Currently, the Connecticut State Police Message Center provides CTIC with 24-hour coverage. DEMHS anticipates operating its own 24-hour watch desk as part of the relocation of CTIC to its Hartford headquarters.
Not yet started	7. Compliance with the Federal REAL ID Act to standardize the requirements and procedures for state-issued driver's licenses and identification cards awaits further guidance from the federal government.

Governance. The federal guidelines recommend creating a representative governance structure that includes law enforcement, public safety, and the private sector. The governing body should be composed of high-level officials who have the power and authority to commit their respective agency resources and personnel to the center. In addition, the guidelines suggest collaboration with the federal efforts of the Joint Terrorism Task Force (JTTF), the Attorney General's Anti-Terrorism Advisory Council (ATAC), the U.S. Department of Justice, and the U.S. Department of Homeland Security.

CTIC has instituted a governance body that contains representatives from a range of disciplines. CTIC's 12-member policy board was established through a memorandum of understanding among its members and currently includes:

- the commissioner of DEMHS, as chair of the CTIC board;
- the special federal agent in charge for the New Haven FBI field office;
- the commissioner of the Department of Public Safety;
- the deputy commissioner/colonel of the Department of Public Safety;
- the president of the Connecticut Police Chiefs' Association;
- the host police chiefs of the five regional intelligence liaison officers;
- the captain of the U.S. Coast Guard for Sector Long Island Sound; and
- the commissioner of the Department of Correction.

In addition, *collaborative efforts with the JTTF, ATAC, DOJ, DHS and others have been established and are on-going.*

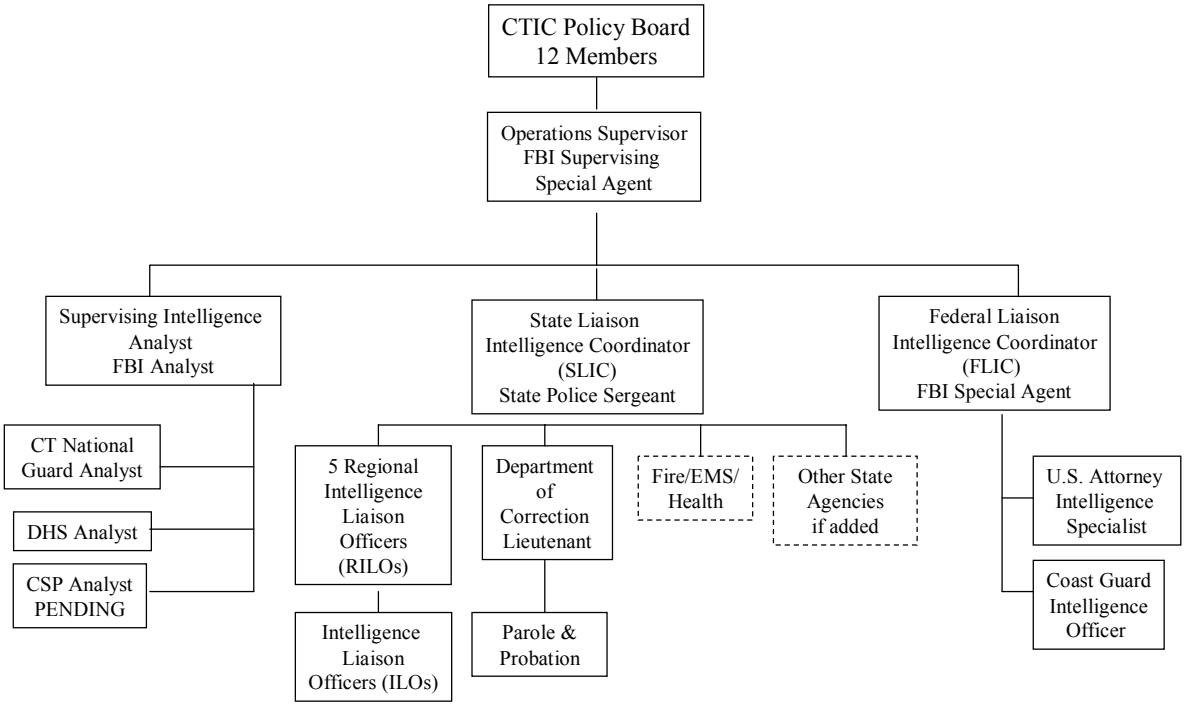
Current CTIC staffing. The CTIC focus is an all-crimes approach with an emphasis on terrorist-related criminal intelligence. According to national experts, support for and acts of terrorism most often take the form of traditional crimes. Therefore, all crime activity should be analyzed for any nexus to terrorism such as narco-terrorism. As such, CTIC partners with law enforcement entities such as the FBI and the Bureau of Criminal Investigations within the Connecticut State Police. However, CTIC was not intended to replace or duplicate the counterterrorism duties of the FBI or investigative duties of the state police.

The CTIC operations supervisor is a supervisory special agent of the FBI who facilitates and coordinates the exchange of intelligence with the appropriate members of the national intelligence community. As Figure V-2 shows, the center includes several federal, state, and local law enforcement personnel working side by side to develop leads and solve cases. CTIC is connected to every local law enforcement agency by intelligence liaison officers who report to regional intelligence officers who in turn report to a State Liaison Intelligence Coordinator (SLIC). The SLIC is a supervisory representative from the Connecticut State Police (CSP). This is a full-time position with a two year minimum commitment.

The center is also staffed by individuals with subject matter expertise from law enforcement and state agencies such as the Department of Correction who work together to develop a complete

picture of the state's current situation as well as an indication of future or potential threats. All of the personnel assigned to these units are screened for the necessary security clearances allowing for a coordinated and collaborative exchange. Federal grants have been used to assist in funding the center by supporting the purchase of computers, software, and covering a portion of local police officer salaries. State police salaries are not reimbursed.

Figure V-2. Connecticut Intelligence Center (CTIC)



Program review staff interviews with various CTIC representatives revealed two administrative staffing issues. Currently, the five RILOs are appointed by the Connecticut Police Chiefs Association while the ILOs are appointed by the police chief of their local department. CTIC reports that all RILOs and ILOs have been assigned. However, *these appointments are voluntarily made by the police chiefs and there is no statutory requirement for municipalities to cooperate with CTIC.* **To formalize these appointments and ensure continued cooperation, program review committee recommends the appointment of ILOs and RILOs shall be codified into statute. Furthermore, the number of ILO appointments should be relative to the size or population of the community.**

The second issue involves the reporting structure for the state liaison intelligence coordinator. As noted above, this position is filled by a supervisory representative of the Connecticut State Police who reports to the head of the CSP Bureau of Criminal Investigations and ultimately to the commissioner of DPS. Within the context of CTIC operations, this position reports to the operations supervisor who is a federal supervisory special agent. However, as a state entity CTIC is technically under the auspices of DEMHS within its Division of Counter Terrorism (also supervised by another CSP representative). As such, *the state liaison intelligence coordinator position has multiple reporting structures.*

Officials of the various reporting structures state that the current configuration has not presented problems or conflicts. While this may be the case presently, the program review committee believes **formal clarification regarding the reporting structure for the state liaison intelligence coordinator position is needed.** DEMHS and DPS were statutorily required to enter into an interagency memorandum of understanding regarding the assignment of personnel for homeland security purposes. Despite multiple requests, program review committee was unable to obtain a signed copy of this agreement. This issue is pursued further in Chapter VIII.

Partnerships with other disciplines. The fusion center guidelines issued by the federal government recommend the involvement and participation of all levels of government and private sector enterprises in order to identify the intelligence gaps. Ideally, the most effective of fusion models include multi-level (local, state, federal), multi-disciplinary (law, fire, health, emergency management) participants who can blend all perspectives into a complete picture of threat, risk, and vulnerability.

In Connecticut, CTIC has traditionally been a law enforcement-driven endeavor. As noted above, the FBI, the federal Department of Homeland Security, and Connecticut State Police as well as local law enforcement officials are essential partners that need to be linked with the state intelligence center. However, one benefit of creating a fusion center is derived from the partnership of staff from agencies and jurisdictions drawn from a broader range of disciplines.

One of the DEMHS goals is to expand CTIC to a fully functioning fusion center by incorporating other public safety disciplines such as fire and public health. Having more than just law enforcement focus, CTIC could use its diversity to capitalize on the cooperation and collaboration of a vast information and intelligence network. The inclusion of other disciplines such as fire and public health would allow CTIC to view the terrorism problem from additional points of view. As Figure V-2 illustrates, the CTIC policy board is considering inclusion of other disciplines.

CTIC also builds an expanded network through a partnership with the private sector and the operators of critical infrastructure facilities. The Connecticut chapter of Infragard, the largest chapter in the nation, is the state's link to the private sector. According to Connecticut Infragard, a strong working relationship exists with the DEMHS commissioner who is the chair of CTIC. The commissioner or his designee frequently attends Infragard meetings, and members of the department's Critical Infrastructure Protection Unit serve as the state homeland security coordinators for Infragard. DEMHS also reports a conference will be held in March 2008 for further private sector involvement.

The private sector can offer CTIC a variety of resources such as expertise in various industry specific subject matters such as cyber security or information regarding certain private sector operations that may assist with risk assessments. The private sector can also provide suspicious incidents and activity information or information that relates to critical infrastructure that may be targets for terrorism. It should be noted that collaboration efforts may be hampered because the private sector may not want to disseminate certain information such as trade secrets critical to a business operation, proprietary information such as customer lists, or sensitive security information like site plans.

Program review committee finds *DEMHS has established a good working partnership with the private sector through Infragard.* However, Infragard is only one avenue to the private sector. Program review committee recommends **DEMHS further expand its private sector outreach efforts particularly to small businesses and security personnel of major critical infrastructures.**

Standards and protocols. The federal guidelines advise fusion centers to develop and adhere to standards and formal protocols (policies and procedures). CTIC has adopted a policies and procedures manual covering a range of items including an outline of the roles and responsibilities of all parties involved. The manual also addresses the receipt and flow of information, the types of intelligence products to be used, and the training of CTIC personnel.

CTIC also adheres to federal regulations that are aimed at law enforcement entities that operate federally funded, multi-jurisdictional criminal intelligence systems (28 CFR Part 23). These regulations relate to the collection, access, storage, and dissemination of information. It states, among other things, that databases (manual or electronic) shall be located in a physically secure area that is restricted to designated authorized personnel. The CTIC board has also developed policy in accordance with the federal Privacy Act of 1974 (Title 5 U.S.C. 552).

Program review committee finds CTIC developed a basic framework for various policies and procedures. Supplemental revisions may be required as state and federal law evolves in certain areas such as privacy.

CTIC Information and Intelligence Process

In general, the CTIC process is to capture investigative information, gather intelligence from all sources, and analyze the information. The information is then synthesized into a usable product for decision-makers. Products, including advisories, bulletins, alerts, and warnings are then disseminated as deemed appropriate.

Data collection. There is no single source for terrorism-related information. Terrorism-related information may come through the efforts of federal, state, tribal, and local law enforcement authorities; other government agencies (e.g., transportation, health care); the private sector (e.g., financial, internet/information technology); and by people living and working in local communities. CTIC personnel receive information through a variety of formats including a telephone hotline, homeland security websites, news media outlets, public records, publications, mail, e-mail, fax, and in person.

Each information lead must be evaluated as to source reliability and content validity. The RILOs and ILOs are the personnel assigned and responsible for intelligence gathering, source development, fostering relationships and ongoing liaison with all information sources and investigative agencies to access criminal intelligence. Any information developed by the ILOs is communicated to their respective RILO. The RILO will collate all the information, cross reference it with information collected by other RILOs, and check it against federal and other pertinent databases. The CTIC SLIC coordinates and oversees all intelligence received from the RILOs and submits it to the operations supervisor for any further data analysis.

Program review committee finds that a regional information collection structure has been established and methods to exchange information are in place.

As referenced above, the state operates a toll-free Terrorism Tips Hotline that can generate leads through suspicious activities reported by the public. Currently, the hotline is staffed by the Connecticut State Police Message Center on a 24-hour basis. However, committee staff was informed that *statistics regarding the Tips Hotline do not exist because they are not collected or tracked.* **The program review committee recommends basic statistical information regarding the Tips Hotline should be generated (i.e., the number of calls received and the outcome of the calls) and provided to the members of the CTIC policy board on a periodic basis. In addition, the annual number of hotline calls received should be reported on the DEMHS website and its other various public relations materials.** The committee believes this information should be easily attainable and may provide decision makers with some measure of effectiveness of public awareness. At a minimum, publicizing the annual number of calls received may help reinforce the importance and potential success of this community based approach.

Data analysis. All incoming information must be properly documented and managed so that any valid indicators of actual terrorist activities and/or attacks can be recognized and referred for preventive action and consequence management as quickly as possible. The CTIC operations supervisor, in conjunction with the federal intelligence analyst coordinator assigned to CTIC, is responsible for monitoring trends and potential activities that provide indications that a terrorist incident may occur.

The operations supervisor assigns intelligence and analytical projects to CTIC personnel as appropriate. Currently, intelligence analysts from the FBI, DHS, and the Connecticut National Guard are used to support intelligence and analytical functions conducted by CTIC. These analysts assess information from a variety of sources, including open sources and classified material. The analysts look for any patterns of activity occurring over time that appear as developing or existing trends. The analysts contribute to the intelligence reports and when appropriate their findings are published for statewide law enforcement distribution. The analysts, along with other law enforcement personnel, try to identify any potential terrorism link in other criminal activities being investigated. These results can produce strategic and action-oriented intelligence data for the benefit of policy makers, administrators, and managers.

It should be noted that "results" are rarely immediate. Pieces of information from all perspectives are most often retrieved and shared one small piece at a time. This type of data analysis entails sorting, combining, categorizing, and arranging the data collected so relationships can be

determined. It is not an exact science and sometimes it just results in more information. As such, this function is time-consuming in an environment that can sometimes be time-sensitive. Program review committee staff discussions with various CTIC and federal representatives indicate that *the current intelligence analyst staffing level is inadequate*. As the organizational chart in Figure V-1 shows, there are currently two analysts (one DHS and one National Guard) and one FBI supervising analyst assigned to CTIC. Whenever feasible, the FBI provides additional resources, but they report also experiencing staffing constraints. According to CTIC officials, a state intelligence analyst position is in the process of being created. Job specifications are now being developed at the Department of Administrative Services for a CSP position.

The program review committee believes *data analysis is a critical component of the fusion center function that should be supported with adequate levels of resources.* Analysis transforms raw data into products that are useful. The analysis function separates information from intelligence. Without analysis, the data collection is merely disjointed pieces of information to which no meaning has been attached.

Data dissemination. Once data analysis has been completed and information assessed, a determination must be made as to what persons and/or organizations should be notified and by what means. General dissemination policies are contained within the CTIC policies and procedures manual that address the flow of information both within and outside the agency. The operations supervisor determines the priority of information dissemination. The SLIC serves as the intelligence sharing conduit between CTIC and all state agencies. CTIC maintains a list of telephone numbers, pager numbers, and email addresses for officials and designated points of contact for most of Connecticut's federal, state, and local public safety agencies.

Terrorism intelligence information is disseminated to members of CTIC participating agencies when there is a need to know and a right to know the information in the performance of their duties. The right to know means the recipient has the legal authority to obtain the information pursuant to court order, statute, or decisional law. The need to know means the requestor had the need to obtain information to execute official responsibilities.25

CTIC produces weekly intelligence briefings that are distributed electronically to law enforcement and others like fire chiefs, fire marshals, emergency managers, and health directors who work in the field. CTIC also distributes terrorism intelligence assessments and bulletins and other assorted reports for state and local law enforcement and public safety agencies, homeland security officials, and other need-to-know entities. Appendix I provides a listing of CTIC products and services.

Federal guidelines for fusion centers recommend leveraging databases, systems, and networks available through participating entities to maximize information sharing. Jurisdictions employ a number of mechanisms to share terrorism-related information. The FBI, DHS, and other intelligence agencies use secure electronic communications systems to disseminate terrorism intelligence/threat information to state and local stakeholders. These systems include:

25 U.S. Department of Justice, *National Criminal Intelligence Sharing Plan Glossary* (2003)

- *Regional Information Sharing Systems (RISS)* – a secure web based communications system that is managed through six regional centers across the country, funded and overseen by various federal agencies. RISS is available to local, state, and federal law enforcement personnel. The New England State Police Information Network is the regional center serving Connecticut.

- *Federal Bureau of Investigations Law Enforcement On-line (LEO)* – a secure internet based communications system available to local, state, and federal law enforcement personnel. Supported by the FBI, this system manages secure e-mail communications between enrolled members.

- *Homeland Security Information Network (HSIN)* – managed by DHS, this is the primary nationwide information sharing and collaboration tool for transmitting sensitive but unclassified information. It links government counter-terrorism intelligence and homeland security entities with other stakeholders. HSIN disseminates information and alerts to network members and allows for submission of information.

Federal guidelines advocate that a fusion center become a member of a regional or state secure law enforcement network such as RISS, LEO, and U.S. Department of Homeland Security Information Network. According to the CTIC policy manual, the NESPIN/RISS database system is the primary means for intelligence sharing for CTIC. This bi-directional system enables local law enforcement to input and query information, and at the same time, provide CTIC with the ability to gather, collate, analyze, and disseminate intelligence. The program review committee finds *CTIC access to federal data sources and other law enforcement based information sharing systems has been achieved. Active collection and dissemination of intelligence has been on-going.*

24-Hour Operation/Watch Desk. When considering staffing levels, the federal guidelines for fusion centers propose maintaining a 24-hour/7-day-a-week operation with appropriate staffing. Although CTIC personnel are available on-call, CTIC is currently not operational 24 hours a day. Emergencies, urgent matters, and tips are routed through the Connecticut State Police Message Center, which is staffed on a 24-hour basis.

In its FY 06 Homeland Security grant application, DEMHS proposed an initiative for a "watch" desk that would be the central location for all information coming into CTIC from across all disciplines. Conceptually, this desk would be designed as a 24-hour, seven-day operating facility to take all incoming information. The Tips hotline would then be routed through CTIC rather than the Connecticut State Police Message Center. The watch desk would be part of a State Interagency Coordination Center (SICC) that would allow for the coordination and monitoring of all state agencies and all tactical level responders.

SICC would receive and integrate information that could alert officials and first responders at the earliest stage of potentially significant incidents, handle the initial notification of a potential health crisis, and have the capacity to maintain a centralized data base. DEMHS believes a move in this direction would provide more immediate response to local, state, and federal shareholders. However, *DEMHS reports the SICC initiative is still in a conceptual stage although federal money is available for this project.*

Location of CTIC. The location of a fusion center may have an impact on which agencies will participate. The center should be represented by various federal, state, and local agencies that have been brought together for the processing of terrorism-related information and producing analyzed intelligence with one common purpose. The federal guidelines for fusion centers advise integrating technology, systems, and people preferably through co-location.

It is recommended that participating agencies strive to locate personnel in the same facility whenever feasible. By seating officers and analysts from various agencies together at one location, they naturally develop personal relationships that help break down interagency resistance that impedes information exchange. In addition, this approach consolidates resources and equipment. If co-location is not possible, the federal guidelines suggest virtual integration of information and communications systems for seamless access and exchange.

At present, DEMHS is preparing to re-locate CTIC operations from the FBI offices in New Haven to the DEMHS headquarters located in Hartford. According to DEMHS, this move was precipitated by the need for additional office space. However, discussions with the various stakeholders suggest other reasons for the relocation may have been the arduous federal operating policies as well as the perception that CTIC is primarily a FBI operation. It is unclear when the relocation of CTIC will be finalized. Physical reconstruction at the Hartford headquarters is underway to prepare the site with secured computer systems and other security requirements. Renovations are expected to be completed within six to eight months.

At the FBI offices, CTIC is also co-located with the Joint Terrorism Task Force. It has not been determined if the JTTF may have a satellite office in Hartford. Regardless of location, the federal government is required to locate two personnel (one FBI and one DHS) at CTIC. DEMHS officials are confident that collaboration among the entities will not diminish with relocation. The program review committee finds *it is unclear what the impact of moving CTIC from the FBI offices in New Haven to DEMHS headquarters in Hartford will be.*

Training and certification. The federal guidelines state that fusion centers must ensure personnel are properly trained and provided specialized training as necessary. Personnel should be equipped to identify suspicious activities or threats and when appropriate provide information to the fusion center. In addition, staff should have adequate training in information and intelligence collection and synthesis. According to the federal government, the lack of uniform training and standards creates a problem not only for the state center but also hampers effective intelligence coordination and dissemination between other state and federal fusion centers.

To date, training for CTIC state personnel has been provided through the Police Officer Standards and Training (POST) council courses on topics such as suicide bombers, aspects of state and local anti-terrorism training (SLATT) and Operation Safeguard.26 In addition, CTIC has sponsored conferences for ILOs and RILOs on issues relating to proper collection, submission, and dissemination of information through the CTIC network as well as on other intelligence sharing

26 The SLATT training program is funded by the federal DOJ and provides specialized training on terrorism and extremist criminal activity. Operation Safeguard provides awareness of activities such as applying for licenses and permits that facilitate terrorist plots.

issues through the LEO and HSIN networks. However, attendance at the training conferences was not mandatory, and no tracking was done of who attended the sessions.

The program review committee finds *limited in-state training and exercise opportunities exist for CTIC personnel*. DEMHS is developing a certification program, known as terrorism liaison officer (TLO) training, that would cover various subjects such as intelligence gathering methods and techniques, handling and processing information, and training on various data bases used by the center and the state. The program review committee believes the initiative of a certification program such as TLO should be further explored. To supplement these training efforts, the program review committee also recommends **whenever feasible and appropriate, CTIC personnel should have more involvement in the joint tabletop, functional, and full-scale homeland security exercises throughout the state. Furthermore, as an administrative matter, CTIC should track the participation rate and training level of all of its personnel particularly for CTIC sponsored events.**

Performance measures and audits. Another fusion center guideline put forth by the federal government is to define expectations, measure performance, and determine effectiveness. The guidelines suggest this could be achieved through regular reporting and reviewing of performance in board meetings with adjustments made to operations as appropriate. The guidelines also advise integrating feedback and suggestions into fusion center operations.

CTIC has been in operation for over two years. Although the CTIC policy board meets regularly, the program's outcomes have never been formally measured to validate performance expectations. However, there has been some indication, though not verified, that a process of mapping information flow to identify crucial areas has been taking place as well as the use of a customer satisfaction survey. In any case, *CTIC has not implemented a formal audit or review process to ensure compliance with policies and procedures. Performance measures for CTIC do not exist and feedback opportunities on the usefulness of CTIC products are limited.*

The program review committee recognizes prevention is difficult to measure in any program. However, without performance measures, it is difficult to evaluate the success of these counter-terrorism efforts and determine the effectiveness of the program to meet its intended goals or objectives. Therefore, the program review committee recommends the **CTIC policy board establish a mechanism for ongoing monitoring of the center's operations, procedures, and policies to ensure that all information and intelligence needs of the shareholders are being met. The evaluation mechanism should also provide CTIC product users feedback opportunities.**

Without such a mechanism, stakeholders may obtain indiscriminate and unfocused information. CTIC members should engage in a process of deciding what they want to know (or what they need to collect) before they collect it. The purpose of this type of audit/evaluation function is for the center and stakeholders to ensure that what is being collected, analyzed, and disseminated is factual, timely, and relevant. It is through this mechanism that adjustments and improvements can be made to the fusion process.

A review of the literature suggests that fusion center operations may at some point be legally challenged. Therefore, it is in the center's best interest to have an oversight mechanism in place to

validate that it is operating within constitutional and legal limits and that when necessary, appropriate corrective actions are taken.

Joint Terrorism Task Force

A significant partner of CTIC is the personnel assigned to the FBI Joint Terrorism Task Force. JTTF is responsible for providing investigative and operational support for terrorism cases. JTTF accomplishes that mission by joining federal, state, and local law enforcement agencies in a coordinated manner to detect, deter, prevent, and investigate acts of terrorism that threaten the national interest of the United States at home or abroad. Prior to 9/11, the United States had 35 such task forces. Now, there are over 100 task forces nationwide and at least one in each of the FBI's 56 field offices, including the one in New Haven.

DEMHS and the New Haven FBI field office have executed a memorandum of agreement that outlines the responsibilities and obligations of each agency. The agreement provides:

- the FBI will assign one supervisory special agent and at least five special agents, and DEMHS will assign at least one Connecticut State Police Trooper to the JTTF;
- the FBI is responsible for overall policy and direction of the JTTF;
- day-to-day supervision is shared between the state and FBI supervisory personnel;
- the FBI provides office space and support staff to the JTTF;
- the FBI controls all classified reports and information;
- the FBI deputizes all non-FBI JTTF members as Special Deputy U.S. Marshals to enforce federal law;
- all non-FBI personnel must obtain a Top Secret security clearance;
- the FBI requires law enforcement partners to submit information from all previous investigations that may be related to terrorism for review;
- salaries of task force members are paid by their own agencies, -- overtime reimbursement is available from the FBI when allowable under federal law, and when funding is available; and
- the FBI forbids JTTF members from speaking to the press -- any JTTF related media releases will be approved by the FBI and DEMHS.

Personnel assigned to JTTF are sworn agents, detectives, and analysts with additional training and security clearances to work with and analyze classified information. The JTTF is organized into squads by investigative category – domestic terrorism and international. These units are responsible for vetting and validating leads, and assessing specific threats. It is the primary point of contact with all classified, national and state databases, and with investigative and intelligence efforts at all levels of government. As such, JTTF is the main repository for any classified information received, and it allows for classified information to be collected, analyzed, scrubbed, and then disseminated for local use.

As the link between the FBI and other intelligence and investigative entities, JTTF is an integral partner to CTIC and is housed within the same building. This partnership allows for lateral and horizontal communications to achieve full connectivity to information. *Connecticut's participation and presence on a multi-jurisdictional terrorism investigation entity has been established. However, assignment of state police officers to the task force has been inconsistent.*

In November 2006, a total of four CSP members were assigned to JTTF – one sergeant and three detectives. Currently, there are three vacancies in the assignment of JTTF personnel. These are due to promotions and military deployment. One of the concerns heard by the committee is that often well-trained and experienced personnel have to decide whether to leave CTIC and/or JTTF to advance within their agency such as CSP or stay at the center or taskforce in a career limited position. According to DPS and DEMHS, the statutory limit on the number of authorized state police personnel makes filling these vacancies difficult. DPS anticipates CSP staffing resources to be somewhat alleviated with a new trooper class graduating from the state police academy.

As noted in the briefing report, the Connecticut JTTF has had a role in several publicized cases including the following:

- Based on a criminal complaint issued by a U.S. Magistrate in the District of Connecticut, British law enforcement authorities arrested Babar Ahmed in London. A federal grand jury returned a four count indictment against Babar including conspiring to provide and providing material support to a terrorist, conspiring to kill persons in a foreign county, and money laundering.

- The JTTF began a long-term investigation of the Liberation Tigers of Tamil Eelam in 2004. Eight arrests were made in 2006, including a Simsbury resident on charges of conspiracy to commit material support to a designated terrorist organization.

- The investigation of the Yale bombing and the arrest of a Berlin, Connecticut man on 30 counts of possession of machine guns, destructive devices and silencers.

Given the critical role and success of the taskforce, the program review committee believes **Connecticut should have a continued presence on the JTTF with additional assignments when staff resources are available.**

CTIC Success Stories

At the request of the program review committee, CTIC also compiled a list of "success stories." The list is provided in Appendix J and contains only unclassified information as appropriate. The list underscores the benefit information sharing through CTIC has for general law enforcement as well as for homeland security. In particular, CTIC has been recognized as an FBI "Best Practice" for its use of an information sharing and crisis management tool known as the Law Enforcement Online Virtual Command Center (VCC). The VCC is an electronic command center

that allows law enforcement to submit and receive information and intelligence at local and remote sites.

Expanded role for Virtual Command Center. *Through the use of the Virtual Command Center an expanded operational role for CTIC has been established.* In April 2007, CTIC assisted in overseeing the special operations at the University of Connecticut (UCONN) Spring Weekend. The Eastern District Commander of the Connecticut State Police requested CTIC help to set up and implement the Virtual Command Center to coordinate three separate command post operations. The VCC was used during the three-day event to facilitate the gathering and dissemination of reported activities from the CSP, UCONN police, and local fire and EMS services. The VCC captured all reported incidents that public safety officials were handling during the sanctioned and unsanctioned events occurring on campus. The VCC provided public safety personnel streamlined operational and time-critical information.

Fusion Centers in Other States

According to a recent U.S. Government Accountability Office (GAO) report, most states and many local governments have established fusion centers to address gaps in information sharing.27 These centers vary in their stages of development from completely operational to the early planning stages. GAO identified 58 fusion centers nationwide. Of these, 21 are fully operational and fully functional centers. Sixteen centers, including Connecticut, are in an intermediate development stage, while six centers are between intermediate and fully developed. Fifteen centers are in the early development and/or planning phase.

The centers vary in many of their characteristics, but generally they have missions that are broader than counterterrorism, have multiple agencies represented - including federal partners - and have access to a number of networks and systems that provide homeland security and law enforcement-related information. Centers vary in their staff size, but many had federal personnel assigned to them as intelligence analysts. Law enforcement entities, such as state police or state bureaus of investigation, are the lead or managing agencies in the majority of the operational centers. A summary table of the fusion centers as reported by GAO is provided in Appendix K.

The fusion center model most often mentioned in homeland security literature is the Los Angeles Terrorism Early Warning group. This is based on the fact that it is a full-time, multi-agency, multi-discipline (law, fire, and health), multi-jurisdictional (local, state, and federal) operational entity that addresses all phases (pre-, trans-, and post) of a terrorist threat or incident. This fusion center reportedly provides the ability to facilitate both lateral and vertical unrestricted communication both within and among agencies. However, few places, particularly smaller jurisdictions, recognize the need nor have the resources necessary to establish and maintain an elaborate intelligence operation like Los Angeles.

It should be noted that in late 2006, the federal DHS assessed CTIC operations to determine the best way for DHS to support information sharing among CTIC and the federal government. The

27 U.S. Government Accountability Office, *Federal Efforts Are Helping to Alleviate Some Challenges Encountered by State and Local Information Fusion Centers*, (October 2007).

DHS assessment team concluded that CTIC had the basic underpinning for a successful and smoothly functioning fusion center.

Chapter VI

CRITICAL INFRASTRUCTURE PROTECTION[28]

It is well recognized that society is dependent on a reliable network of infrastructure in order for both the government and the economy as a whole to function normally. Certain social and economic activities, like the transportation of goods and people, banking, and the supply of electricity and water, are vital to the operation and security of the country. Both the federal government and the state have a role in protecting critical infrastructure.

This chapter provides background information on the state's and the federal government's critical infrastructure programs, a descriptive overview of the state's critical infrastructure, an examination of the department's goals and objectives that relate to the protection of critical infrastructure, a comparison between the elements of an effective critical infrastructure program and DEMHS activities, and a comparison of the state's critical infrastructure list and the federal government's Buffer Zone Protection Program.

Background[29]

In Connecticut, the Critical Infrastructure Protection Unit contains six state troopers (one sergeant and five troopers) whose primary mission is to identify, assess, and categorize critical assets within the state and develop plans to improve the security at those sites. Staff in the unit has received specialized training in performing risk assessments of critical assets and in the development of protection strategies.

The critical assets identified by the unit can be public or private. In fact, many observers have pointed out that most of the critical assets of the nation are in private hands. There are sites that are determined to be critical by the state and those that are determined to be critical by the federal DHS. The state and federal government use different criteria to determine which assets are considered critical, and each uses the information for different purposes as described below.

Federally determined critical sites. Protection of critical infrastructure (CI) and key resources (KR) is one of the primary missions of DHS. The department is guided by federal statutes and the National Infrastructure Protection Plan (NIPP), which provides a "unifying structure for the integration of CI/KR protection into a single program." According to the USA Patriot Act of 2001,

[28] The reference to critical infrastructure is meant to also include key resources. According to the USA Patriot Act of 2001, critical infrastructure includes those "systems and assets whether physical or virtual so vital to the United States that the incapacity or destruction of such … would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters." Key resources are "publicly or privately controlled resources essential to the minimal operations of the economy and government."

29 Information for this section was obtained from DEMHS personnel and the DHS Protective Security Advisor to Connecticut as well as two reports (*Progress in Developing the National Asset Database,* Office of Inspector General, Department of Homeland Security, OIG – 04-04 June 2006 and *Review of the Buffer Zone Protection Program*, Office of Inspector General, Department of Homeland Security, OIG – 07-59, July 2007) The reports or interviews with the DHS representative were used when DEMHS personnel were unable to provide or confirm certain information.

critical infrastructure includes those "systems and assets whether physical or virtual so vital to the United States that the incapacity or destruction of such … would have a debilitating impact on security, national economic security, national public health or safety, or any combination of those matters." Key resources are "publicly or privately controlled resources essential to the minimal operations of the economy and government." The federal government has identified 13 categories of critical infrastructure (e.g., Banking and Finance, Chemical, Energy, Telecommunications) and four key resources (i.e., Commercial Facilities, Government Facilities, Dams, and Nuclear Reactors).

The federal government has required the state to provide information about CI/KR through various "data calls" (information requests). There have been two general data calls since 2002 and several specific data calls that included particular industries (e.g., chemical and nuclear) and major events.30 The federal government uses the CI/KR information in its risk assessment methodology (described earlier), for the Buffer Zone Protection Program and other programs.

The information gathered by the state is joined with other information from DHS and is entered into a National Asset Database (NADB). According to the NIPP, the NADB is intended to be "a comprehensive catalog that includes an inventory and descriptive information regarding the assets and systems that comprise the nation's CI/KR." There are over 77,000 CI/KR sites contained in the NADB. According to a DHS representative, Connecticut has at least 919 sites in the database. The quality of the NADB has been questioned recently by the DHS Office of Inspector General as it contains a large number of unusual or non-critical assets (e.g., petting zoo, landfill, auto shop).

The purpose of the BZPP is to enhance the abilities of state and local authorities to improve the physical security at sites determined to be critical by DHS. The funding is intended to assist in developing effective measures that make it difficult for terrorists to conduct surveillance or to launch attacks within the vicinity of critical infrastructure, as well as increase the preparedness of local jurisdictions where the facility is located. The focus of buffer zone improvements is outside the perimeter of the identified infrastructure. Funding cannot be passed on to private sector facility owners for internal security measures.

In the first year of the BZPP -- 2005 -- 17 Connecticut sites qualified for funding under the program. Eleven sites were originally identified by DHS, and the state recommended additional sites to DHS and got six sites added. In 2006 and 2007, the critical assets are divided into three tiers by DHS. The criteria for inclusion in the tiers can change from year to year depending on what DHS determines to be a priority.

The specific threshold criteria that DHS uses to categorize the assets are apparently quite high. Tier One consists of sites that if attacked would have "monumental consequences." In 2006, nationwide about 25 sites were identified in this tier as eligible for funding up to $1 million each. Connecticut does not have any assets in this tier.

Tier Two consists of sites that are determined to be "high consequence" infrastructure within certain industries, or sites on which intelligence has indicated the possibility of an attack. According to DEMHS, the total number of Tier Two sites in Connecticut is classified. However, in 2006 and

30 The data calls were requested in 2003 and July 2004.

2007, one site in each year was selected for funding. The state was allowed to pick the sites from a larger site list developed by DHS. These two sites had also received funding in 2005. The program initially provided $50,000 per site in 2005 to purchase equipment to better protect the facility and first responders. This amount was increased to $194,000 per site in 2007. In 2006, there were only about 200 sites selected for funding nationwide; Connecticut had one site eligible for the BZPP. Tier Three contains the remaining sites. Funding has not been provided for this tier. However, as identified in Chapter III, state and local governments are allowed to use federal homeland security funding for infrastructure upgrades for *government-owned facilities*, and about $4.5 million has been expended for this purpose in Connecticut.

Once a site is determined to be critical, a risk/vulnerability assessment must be conducted and a protection plan must be developed that identifies measures that will reduce the risk of a successful terrorist attack. To date, of the 17 sites requiring 19 plans, 18 buffer zone plans have been approved by DHS, and 17 plans have been implemented (meaning the equipment has been purchased and put into place). The buffer zone plan also provides guidance on suggested actions to be taken during each Homeland Security Advisory System level.31

It should be noted at the outset that the federal buffer zone program has significant limitations. The program has been criticized for: 1) not providing enough money for mitigation activities, especially in the early years; 2) not allowing funding to be passed on to private sector facility owners for internal security measures or for capital expenditures, like fences and surveillance cameras; and 3) allowing local governments the final say over what gets purchased.32 Program managers in Connecticut have noted that installing a fence around the perimeter of a facility may be more helpful in improving security at a particular location (a non-funded activity), than buying equipment for municipalities to better enable them to respond to an event at the facility (a funded activity).

State determined critical sites. The CIPU also identifies and provides security assessments for other sites considered by the state to be critical. The CIPU maintains a state database of Connecticut's CI/KR. This list is based on those assets identified through data calls/requests to municipalities, as described below. There are about 2,900 sites on the state's database and the unit is working toward verifying, prioritizing, and ranking them. The list is fluid and is updated periodically as new information is obtained such as when new companies are established or are closed.

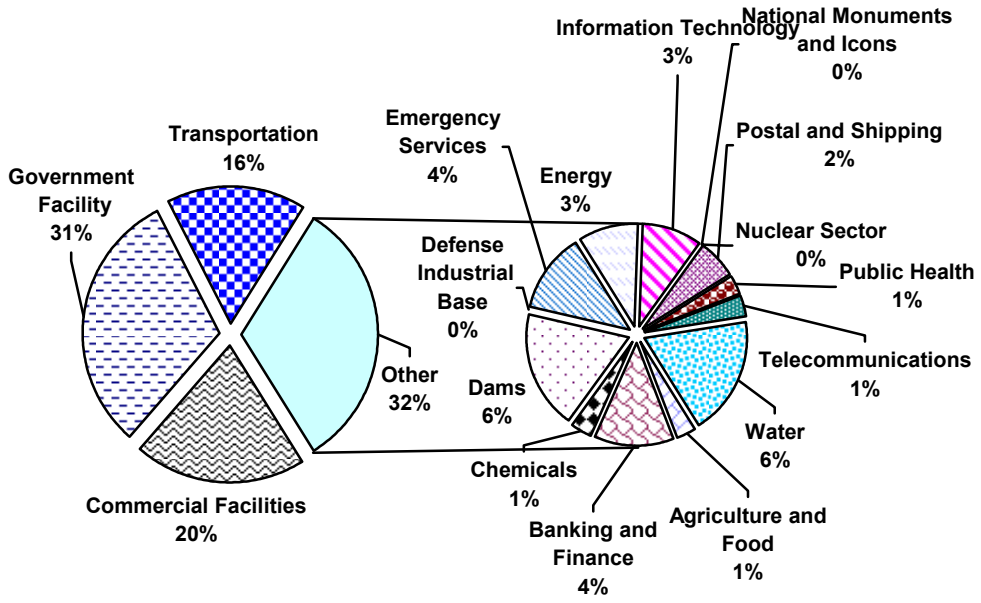
Infrastructure information is also used as part of a state risk assessment that directs funding to DEMHS regions to improve preparedness. The state's infrastructure list is also instrumental in being able to respond to federal data calls for infrastructure information when the federal government is interested in protecting specific types of assets or when certain threat information is received. There is no state program to assist in the funding of critical infrastructure upgrades for municipalities or for private facility owners.

Descriptive Information Regarding the State's Critical Infrastructure

31 The Homeland Security Advisory System contains the color codes DHS uses to categorize threats to the nation.

The current state infrastructure list is diverse and includes entries for each of 17 critical infrastructure types identified by the federal government. When program review staff began this review approximately 3,500 sites were contained in the database; by November 2007 less than 2,900 were in the database. In the last round of updates for critical infrastructure in 2006, the state's critical infrastructure and key resources were cataloged largely in accordance with the latest DHS asset types and threshold limitations.

Figure VI-1. Percentage of Sites by Sector



While the exact contents of the list remains confidential, program review staff worked with DEMHS to produce some aggregated descriptive information about the state's critical infrastructure that did not compromise any security concerns. Figure VI-1 shows the percentage of sites by sector. Government facilities, commercial facilities, and transportation sectors comprise about two-thirds of all critical assets, while national icons, nuclear sector, and defense industrial base are among the smallest sectors. (The smallest sectors do have facilities listed even though they appear on the figure as 0 percent.)

When the critical infrastructure sites are identified within each town, the information is entered into a risk assessment tool known as CARVER, which evaluates critical infrastructure across several factors. Each factor has various data points that must be entered so that a score can be generated. Each facility receives a total score and can be ranked and compared to every other facility. This process is described in detail below. The highest score that can be generated is 500.

32 U.S. DHS, OIG, *Review of the Buffer Zone Protection Program.* Washington D.C. , July 2007

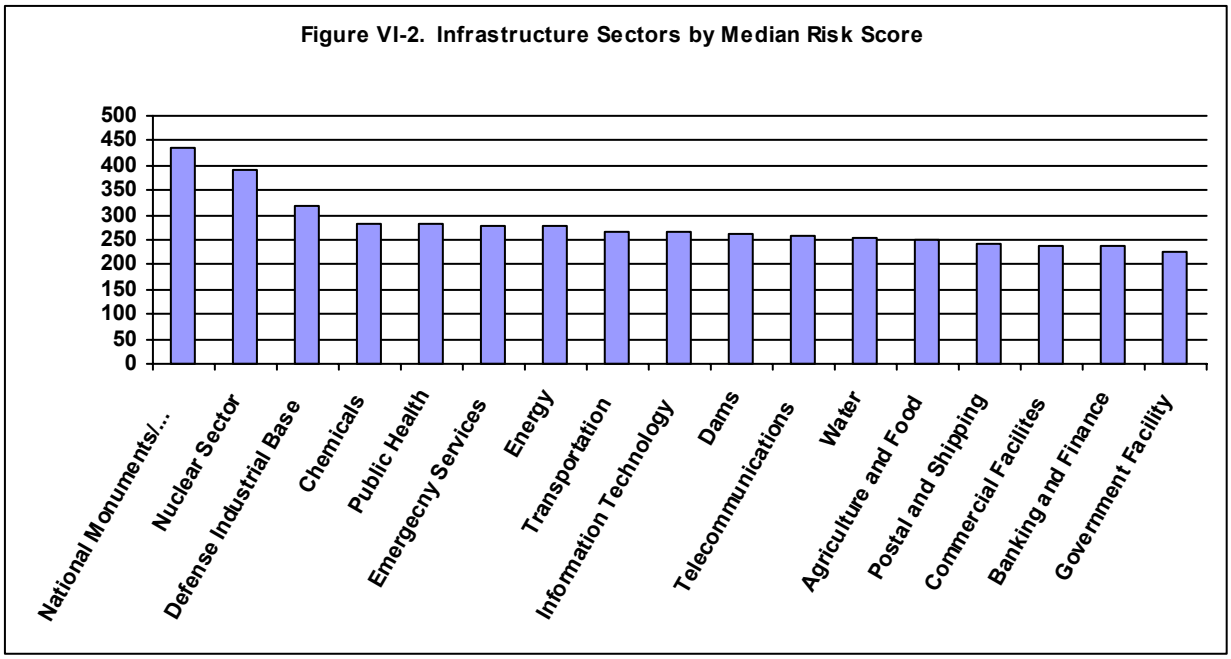


Figure VI-2 shows the median risk score by infrastructure sector. National monuments and icons, the nuclear sector, and defense industrial base have the highest median scores, while government facilities have the lowest. The principle reason that national monuments have the highest score is because they are considered irreplaceable at any cost.

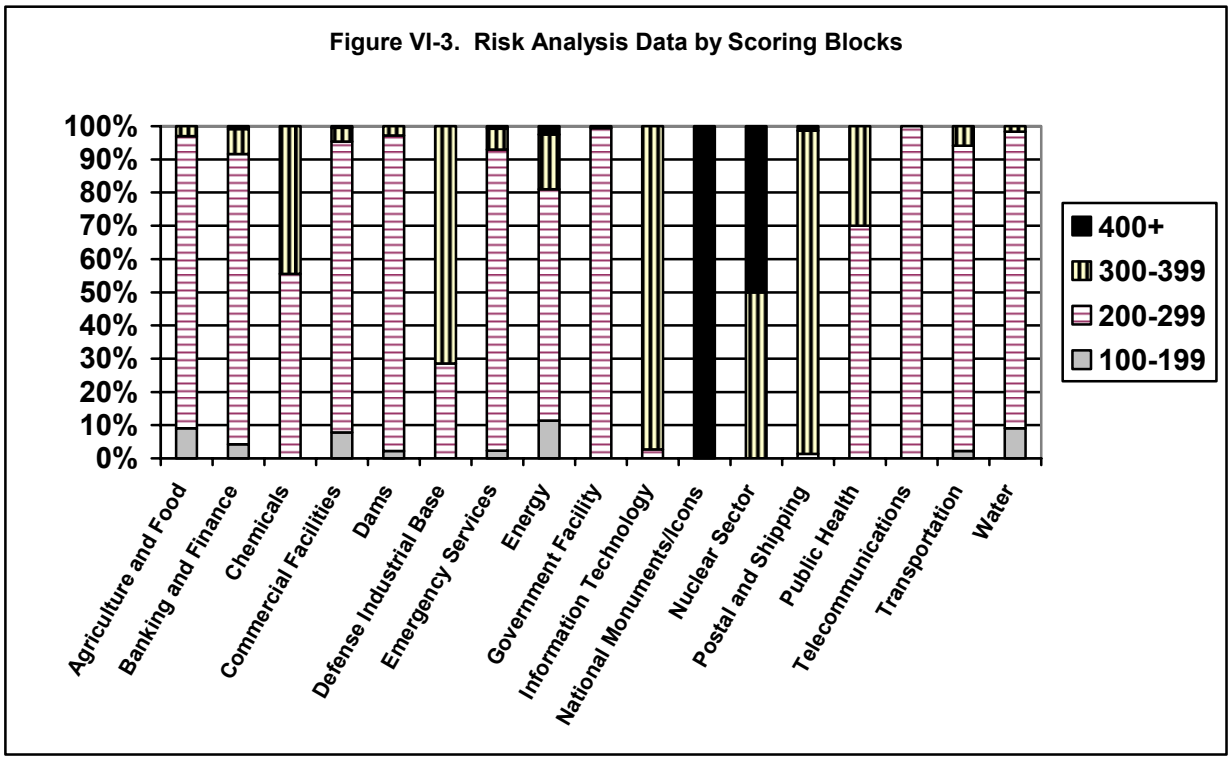


Figure VI-3 shows critical infrastructure by scoring blocks. These scoring blocks show the percent of facilities that fall within a particular range of risk scores by sector. For example, for the water sector, 9 percent of its facilities fall within 100 and 199, 89 percent fall within 200 and 299, 2 percent fall within 300 and 399, and none fall in the range of 400 or more.

National monuments and the nuclear sector have the largest percentage of facilities that fall in the highest range. Other sectors with facilities that have high scores include the energy, commercial, and postal categories. Eighty-seven percent of all facilities fall within the 200 to 299 range, while less than 10 percent of all such facilities fall within the 300 to 500 range.

Figure VI-4. Percentage of Critical Assets by Region

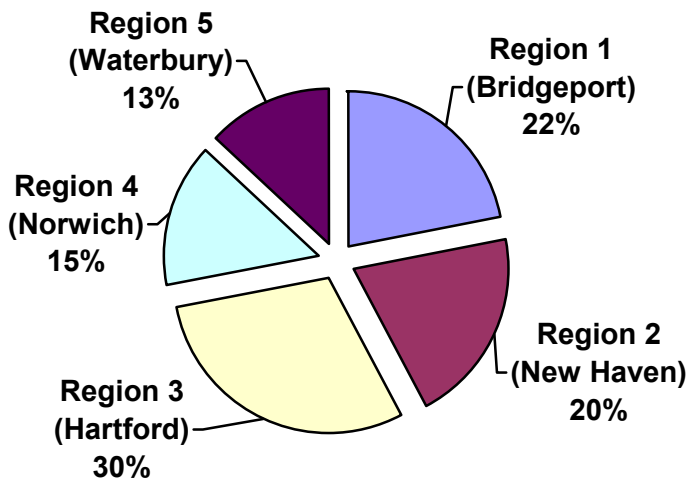


Figure VI-4 shows the amount of critical infrastructure by region. As a reference point, the largest city in each region is also shown in parentheses. Region 3, which includes Hartford, has nearly one-third of all critical infrastructures; while Region 5, which contains Waterbury and Danbury, has the least (13 percent).

Goals and Objectives

Program review committee examined strategic goals and objectives regarding the critical infrastructure program contained in the State Homeland Security Strategies for 2003, 2006, and 2007 *as well as* related internal strategic goals and objectives for this area established by DEMHS. The SHSS is federally required and identifies planning, equipment, training, and exercise needs of the state to prevent, respond, and recover from acts of terrorism. The SHSS is developed in consultation with the Emergency Management and Homeland Security Coordinating Council and is required under federal grant guidelines. The latest SHSS published in 2007 has a time frame from 2007 to 2011. The department's internal strategic goals were promulgated by DEMHS in 2007.

Table VI-1. Status of Objectives Related to Critical Infrastructure	
Status	**Objectives for Critical Infrastructure**
Completed	1. All of the state's approximately 80 general aviation airports have been evaluated. (It should be noted that Bradley is not considered a general aviation airport and is currently being reviewed by the CIPU.) 2. A risk-based formula for determining regional funding amounts utilizing critical infrastructure information has been developed.
Ongoing	3. A detailed inventory of the state's critical infrastructure has been assembled and is maintained and updated by the critical infrastructure unit at DEMHS. 4. Critical infrastructure planning efforts are ongoing and being coordinated through various venues on the state, local, and federal level. 5. Terrorism awareness classes have been established for the public and private sector and are ongoing.
Partially Complete	6. Mitigating strategies will be developed for the top 100 critical sites in Connecticut as they are assessed. DEMHS has assessed and local jurisdictions have implemented security or response improvements for 17 critical infrastructure sites that are eligible for funding under the Buffer Zone Protection Program for the first round of funding (FFY 2005). Plans are being developed for two sites in the second and third rounds of funding (FFYs 2006 and 2007), and no purchases have been made. 7. The Department of Information Technology (DOIT) has developed a risk assessment methodology and is in the process of conducting a risk assessment of the DOIT infrastructure. A documented report of the findings will be produced with required and recommended remediation activities. 8. DOIT has developed a draft incident response procedure that identifies methods to communicate with the key personnel throughout state agencies and defines roles and responsibilities associated with cyber-indent response procedures. 9. Background checks for certain DEMHS employees to obtain federal security clearances are in progress. 10. Regional plans are being developed that will integrate risk assessments. 11. A new position called an intelligence analyst is under development.
Not Yet Started	12. The CIPU has not yet begun to develop infrastructure assessment guidelines to make available to the private sector.
Source: PRI based on DEMHS interviews	

The SHSS and DEMHS strategy documents establish two goals and a combined total of 12 objectives that relate to critical infrastructure.33 There has been one consistent overall goal regarding critical infrastructure contained within the State Homeland Security Strategies; "to enhance public safety through hardening of critical infrastructure sectors." DEMHS' strategic goal is to "continue the development of critical infrastructure plan for the state of Connecticut." The committee staff findings regarding the 12 objectives that support this goal are presented in the Table VI-1. *In summary, five of the 12 objectives related to the protection of critical infrastructure have been completed, three of which are ongoing.* S*ix other objectives are partially complete, and one objective is not yet started.* (A complete list of the objectives and their status can be found in Appendix H.)

Basic Process Elements

In general, DEMHS has made progress in obtaining most of the basic elements of an effective critical infrastructure program. As noted above, the purpose of the infrastructure unit is to assist in the identification, prioritization of, and protection of critical infrastructure. Drawing from a variety of sources, the basic elements that define an effective program to identify and reduce vulnerabilities of critical infrastructure are listed below and are compared to DEMHS' activities.34

- *A lead entity to oversee and coordinate the critical infrastructure effort* - While DEMHS is the overall lead entity for coordination in the state, within the department, the critical infrastructure protection unit is responsible for managing this effort. The unit contains six state troopers (one sergeant and five troopers) who are on loan from the Department of Public Safety to DEMHS. The unit also represents the department at Infragard and other private sector outreach organizations.35 It lacks an overall strategy to protect infrastructure and clearly identify the department's role in assessing infrastructure and tracking protection efforts.

- *Ability to identify and prioritize critical infrastructure* – DEMHS has identified a process to identify and inventory critical assets based on federal criteria. The CIPU also aggregates and analyzes initial assessment results to prioritize planning efforts.

- *Capacity to assess risks and develop protection measures* - DEMHS has performed some assessments and identified protection measures for specific sites. The department has stated its intention to redistribute resources to each

33 The SHSS contains six objectives related to critical infrastructure. Three of the objectives have been in place for each of the three SHSS documents under review here; two additional objectives were added in 2006, and another one was added in 2007. The DEMHS strategic goals document contains eight objectives, but two of the objectives overlap with the SHSS. Combined, there is a total of 12 separate objectives.

34 For example, U.S. Department of Homeland Security, *Target Capabilities List September 2007*. Washington D.C. and Glen Woodbury, Measuring Prevention, *Homeland Security Affairs*, Volume I Issue 1, Summer 2005.

35 Connecticut's Infragard chapter is a nonprofit voluntary organization that provides for a public/private sector partnership for the protection of infrastructure.

region to perform assessments. In addition, the department has trained 46 municipal police officers to enable them to perform assessments in their communities.

- *Effectiveness measures* – The department currently has not developed effectiveness measures and does not receive enough feedback regarding its activities to fully understand the impact of its efforts critical infrastructure program.

These elements are discussed in the context of the operation of the CIPU in detail below.

State's Critical Infrastructure: Identification, Prioritization, Assessment, and Protection

In conjunction with extensive interviews with CIPU personnel, program review staff reviewed the state's critical infrastructure program and its work on the federal buffer zone program to:

- understand the process and methodology that DEMHS uses to collect the data and prioritize the importance of infrastructure sites;
- obtain basic descriptive information about the state's critical infrastructure (provided above) and determine if the assets included appear to be reasonable and valid;
- examine how many assessments were performed and how associated recommendations to mitigate vulnerabilities were implemented;
- consider how the infrastructure list and ranking system impacts the regional funding formula; and
- determine how the state's critical infrastructure list compares or relates to the federal BZPP.

Identification and prioritization of critical infrastructure. Initially, the state's critical infrastructure list was developed in 2002 based on a data request from the federal government. It has been revised over the years using different criteria and most recently underwent a comprehensive update to reflect 2006 and 2007 federal asset types and thresholds. The asset types relate to the 17 infrastructure sectors and key resource types such as banking and finance, telecommunications, etc. Typically, the threshold criteria relate to some type of activity, size, or a volume measure related to the facility.

In the last year, DEMHS distributed its current infrastructure list to all municipalities to verify the sites were in their communities, still operational, and still considered critical. All chief elected officials in Connecticut were asked to designate a point of contact to review and revise the list of critical infrastructure within their respective jurisdictions. Based on this review and input, CIPU staff have refined and revised the number of sites in the database.

Prioritization. When the critical infrastructure sites were identified within each town, the information was entered into a personal computer-based risk assessment tool known as CARVER. This program is federally endorsed and evaluates critical infrastructure across several factors, including criticality (i.e., impact of the loss), accessibility, recoverability, vulnerability, "espyability" (i.e., recognizability), and redundancy.

Each factor has various data points that must be entered so that a score can be generated. For example, the number of facility users affected by the loss of a site and the economic loss and rebuild cost of each facility has to be entered as part of the criticality factor to generate a score. If the data are not provided, they must be estimated by CIPU staff. The multiple scores are placed in a decision matrix that calculates a "target ranking." In this way, each facility receives a total score and can be ranked and compared to every other facility. While the CIPU staff uses federal threshold criteria as a basis to screen out inappropriate facilities from the state's infrastructure list, the staff also make exceptions for facilities that are "close" to those thresholds. If the municipality can make a convincing argument to CIPU staff, the facility is included.

Findings and recommendations. With regard to the process DEMHS uses to identify and prioritize critical infrastructure, the program review committee makes the following findings and recommendations.

Program review staff randomly reviewed the sites on the state's critical infrastructure list and did not find any sites that were unusual or apparently out of place. Staff randomly examined DEMHS' list of approximately 2,900 critical infrastructure sites. Staff questioned the inclusion of a number of sites, but DEMHS staff proved adequate justification for their inclusion. Of particular concern was identifying any unusual sites that have been criticized as part of the federal government's National Asset Database, such as petting zoos, landfills, and auto shops. While not every site on the state's list was reviewed by program review staff, similar concerns were not found.

The precise criteria for inclusion on the state's critical infrastructure list are not clearly defined and documented. While it may be desirable to expand on the federal threshold criteria for legitimate state purposes, it is unclear what the exceptions were or how consistently those exceptions have been applied. Given that the existence of critical infrastructure affects the amount of homeland security funding a region receives from the state, each municipality should know what the precise criteria are to ensure that all municipalities are responding to the same standards. Documented guidelines will also help to ensure a consistency of understanding among staff, assist with new staff orientation, and expedite any assessment of new infrastructure to be included on the list.

Recommendation. DEMHS needs to clearly document the critical infrastructure eligibility guidelines and provide that information to each municipality.

Nearly 56 percent of municipalities in Connecticut did not respond to the most recent data call for the critical infrastructure update. Ninety-four municipalities did not confirm or update the existing critical infrastructure list for their jurisdictions. Eighty-four municipalities have not appointed a point of contact for the risk assessment program. A number of the non-responders represent cities. While CIPU staff believe that they have captured most of the infrastructure

information for those municipalities based on previous data calls, it is impossible to confirm because changes to infrastructure can occur when new businesses are created or when businesses cease to operate. DEMHS has also sent several letters from the commissioner to try to persuade municipalities to be more active participants. Program managers have speculated that the process may be perceived as cumbersome, and that municipalities, in the past, may not have received much feedback as to how the data are used. Because regional funding is tied, in part, to the identification of critical infrastructure, financial resources may not be directed to the appropriate regions as intended without accurate risk information.

Recommendation. DEMHS should encourage greater participation by municipalities in the infrastructure program by reinforcing with municipal leaders the importance of the program and the impact it has on the funding of regional priorities. In addition, DEMHS should investigate the feasibility of providing an electronic means for municipalities to access and update infrastructure information through a secure internet portal.

The infrastructure assessment software tool has significant limitations and needs to be reassessed. The CARVER risk assessment software is provided to state governments free of charge and is used by 35 states, according to the manufacturer's website. DEMHS states that it had selected the CARVER program based on recommendations from the federal DHS and because it was the best available tool at the time of purchase several years ago. Program review staff have noted that the CARVER assessment tool makes it difficult to manipulate data and obtain various reports about infrastructure from the database. When CIPU staff make certain queries of the infrastructure data, they have indicated that the computer will "time out" before the run is competed. One solution is to download a portion of the information into another program, such as Excel, but this is not an optimal solution because of the time it takes. In addition the software does not include certain facility categories, such as public and private schools, which DEMHS would like to include and isolate from other categories.

Recommendation. DEMHS should investigate the use of other validated infrastructure assessment tools to better accommodate the categorizing, analyzing, and reporting needs of the department.

Assessment and protection of infrastructure sites. Part of the mission of DEMHS' infrastructure unit is to perform systematic assessments of the state's critical infrastructure and develop strategies to improve security at those sites. The unit is hoping that with the help of specially trained municipal police officers it will be able to work with the owners of the most critical facilities to assess vulnerabilities and develop plans to increase security at each site. Forty- six municipal officers have been trained to do assessments within their communities.

The unit also offers asset reviews at no cost to other government agencies and private entities who request such a review. To date, CIPU has assessed and developed mitigation plans for 180 sites, including:

- 90 private facilities;
- 20 ferry facilities;

- 22 state facilities; and
- 48 municipal sites.

Included within those 180 assessments are 42 of the state's top 100 most critical sites. The private and public (municipal and state) facilities also include rail, seaport, and airport facilities. The three major seaports in Connecticut have been assessed. In cooperation with the federal Transportation Security Administration, DEMHS initiated an airport security initiative targeting general aviation airports. The initiative includes security self-assessments and recommended guidelines that would help make the airports more security conscience.

Findings and recommendations. With regard to the infrastructure assessment process and protection activities, the program review committee makes the following findings and recommendations.

DEMHS has created a comprehensive general aviation airport evaluation initiative and it has recently begun a physical security assessment of Bradley International Airport. The assessment was apparently requested by the TSA's new federal security director for Bradley. The state Department of Transportation believes the review will provide an overall assessment of its ongoing efforts that have evolved since September 11, 2001. DEMHS has stated that it believes that Bradley has been well protected by a combination of entities, including the TSA, which is responsible for passenger and cargo security issues, the state police troop stationed there, and the state airport police.

Only a small portion of Connecticut's key infrastructure has been assessed to date. As mentioned above, 180 sites out of a potential 2,900 sites (6 percent) have been assessed by DEMHS. The function of state-sponsored infrastructure assessments, like the department itself, has only been in existence for a short period of time. In all likelihood, not all facilities on the list will receive an assessment. Some sites are important to know about, but it may not be cost effective for the state to assess the potential vulnerabilities at all sites. These facilities, for example, may have a redundant capacity or have a relatively small impact if disrupted compared to overall statewide effects. DEMHS has prioritized the list and will be concentrating on performing assessments based on its own risk analysis.

It is not clear how active DEMHS will be in performing critical infrastructure assessments, and ensuring mitigation activities are performed and business continuity plans are in place for the state's most critical assets. One goal that has been stated in this area is that DEMHS wants to assign resources to each region to perform assessments for the most critical and most vulnerable assets within each region. DEMHS would like to enlist the support of the 46 municipal officers they have trained to perform assessments in their communities. How this will be coordinated and implemented is not clear. A more specific implementation plan would be helpful indicating, among other items, what "the most critical" sites are (i.e., whether it is all 2,900 sites), what the responsibility of DEMHS should be versus the site owner in assessment and mitigation activities, strategies to encourage private sector cooperation with DEMHS, what the state's position should be if the owner is uncooperative, and whether and how DEMHS should track to see if continuity of operations plans are in place for the most critical assets.

No feedback is received from facility owners to know how many vulnerability mitigation recommendations are implemented. To understand how successful the infrastructure program is, two key metrics would be how many recommendations are implemented and what effect they have had in mitigating vulnerabilities. There is no requirement for facility owners to provide this information to DEMHS, nor does the department ask for it. While there may be some reluctance on behalf of private facility owners to provide that information, it is unclear why public sector organizations at least should not share with DEMHS what mitigation strategies have been employed. Understandably, given their limited resources, DEMHS has not performed any follow-up reviews to assess how well any changes that may have been implemented have improved security at these sites.

The department has estimated that 85 percent of the mitigation recommendations for facilities that they have assessed have not been implemented. Among the reasons cited for this are limited funding and a lack of authority to enforce security standards. Both DEMHS and representatives from the business community have indicated that security improvements for many facilities are costly and can be difficult to justify, especially for a low probability but high consequence event. The state does not provide any funding for improvements and the amount of federal assistance is limited and focused on improvements beyond the perimeter of the facility.

Some states, like New Jersey, have implemented minimum infrastructure security standards for certain facilities, like chemical plants. In addition, the federal DHS is in the process of promulgating regulations that require certain high-risk chemical facilities to comply with performance-based security requirements. Some controversy exists around the regulations because the universe of regulated facilities is not specified under the law and is left to the discretion of the DHS secretary. Some states have raised concerns that the federal standards would reduce the requirements enacted by state governments. Nonetheless, the principle of establishing security requirements is anticipated in the federal National Infrastructure Protection Plan. It states: "additionally, critical infrastructure /key resource owners and operators may be required to invest in security as a result of federal, state, and/or local regulations." 36 On the flip side of developing regulations, there may be merit in considering incentives to encourage certain facility owners to implement greater security protections. Incentives could take the form of grants, low interest loans, or tax breaks for improvements.

DEMHS staff have also noted uneven implementation of mitigating strategies around seaports in Connecticut. It is thought that the nature of the port authorities' power may influence the extent to which recommendations are implemented. In addition, businesses make risk-management decisions based on a return on investment and ensuring business continuity. There may be, however, certain facilities or functions deemed to be critical to the state or have significant consequences that are not considered to be a part of normal private sector risk-management considerations. Smaller businesses or clusters of smaller business may especially find it difficult to justify increased investments in security or continuity planning. While DEMHS is still in the formative stages of infrastructure protection, the program may benefit from additional outreach into the private sector to understand barriers to providing improved protection at different levels of business.

36 U.S. Department of Homeland Security, *National Infrastructure Protection Plan 2006*. Washington D.C., p 26.

Recommendation. To improve Connecticut's infrastructure protection efforts and to better understand any barriers to reducing vulnerabilities in certain business sectors, DEMHS should:

A. develop a specific implementation plan that outlines DEMHS intentions, goals, and responsibilities in assessing and mitigating vulnerabilities as well as in tracking the status of public and private sector security efforts at Connecticut's most critical infrastructure sites;

B. track core activity measures, such as, but not limited to, the number of assets, systems, and networks by sector, and the number of completed vulnerability assessments;

C. develop a system to capture information about the usefulness of facility assessments performed by the department and the extent to which mitigating recommendations have been implemented by both public and private facility owners, including improvements made through grants awarded to ferry, port and transit operators in the state; other measures to consider include percentage of high-risk assets that have developed protective strategies, percentage that have implemented mitigation strategies, and percentage that have continuity of operations plans.

D. report results of B and C in an aggregated and non-identifiable format in DEMHS' annual report; and

E. convene a task force composed of coordinating council members, public safety officials, private sector facility owners, and other appropriate stakeholders to investigate the need for the regulation of security improvements or the development of incentives for certain critical infrastructure facilities, such as those that handle extraordinarily hazardous substances, transportation facilities, or other critical infrastructure.

Table VI-2. Regional Risk Formula and Homeland Security Regional Allocations: FY 2007

	Number of Towns	Number of Assets	CARVER Total Regional Risk Score	Percent of Total Score	Total Risk-Based Allocation	Base Allocation	Total Allocation
Region 1	14	635	162,018	22.3%	$238,479	$800,000	$1,038,479
Region 2	30	588	147,606	20.3%	217,266	800,000	1,017,266
Region 3	41	857	212,755	29.3%	313,160	800,000	1,113,160
Region 4	41	430	106,884	14.7%	157,326	800,000	957,326
Region 5	43	381	96,543	13.3%	142,104	800,000	942,104
Totals	169	2,891	725,806	100%	$1,068,335	$4,000,000	$5,068,335

Source: DEMHS

Risk-based funding. The risk assessment process is important to Connecticut's municipalities because it has become an element in determining a portion of funding for each DEMHS region for FY 2007. This is similar to the federal government's use of risk-based methodologies to allocate funding under several of its grant programs among the states. DEMHS has allocated a base amount of $800,000 to each of its five regions and an additional amount based on the CARVER risk assessment of the infrastructure in each municipality. The sum of the "target rankings" within each municipality represents each municipality's risk score. The total risk score for each DEMHS region was calculated by adding the scores of its constituent towns.

The risk-based funding amount for each region was calculated as a proportion of the region's contribution to the statewide total risk score. Table VI-2 shows the total scores and the total allocation for each region. Region 3, which includes Hartford, has received the most funding, while Region 5, which contains Waterbury and Danbury, has received the least.

Findings and recommendations. Regarding the process DEMHS uses to calculate its risk-based funding amounts, program review committee makes the following findings and recommendations.

The state's critical infrastructure list has been used for funding decisions while still being refined. While the infrastructure list is dynamic, from September to November 2007 there was a 30,000 point decline in one region based on subsequent revisions made after funds were distributed. DEMHS maintains that the September score was a "picture in time" on that date, and the list is fluid. However, program review committee believes this is problematic because it is a fairly significant drop. For example, if the highest average score for the nuclear sector is about 400 or so points, this means that the 30,000 point drop would be equivalent to about 75 nuclear sector assets. The 30,000 point adjustment was nearly a 20 percent drop in points for Region One and resulted in a 5 percent gain in funding for the other regions.

The risk-based formula does not consider the preparedness needs of local jurisdictions. Currently, each DEMHS region, in association with the Regional Planning Organizations, is working on developing a number of items to strengthen regional collaboration and planning. These include:

- a standardized inventory of available emergency resources throughout the region;
- a Strength, Weakness, Opportunities, and Threats (SWOT) analysis (a planning tool to assist in evaluating a project) of each region's emergency support functions (ESFs);37
- a regional spending plan to address needs in the region; and

37 The emergency support function (ESF) is defined by DEMHS as a "disciplined-oriented work group" intended to "foster collaborative planning within a particular discipline." There are 15 emergency support functions, and each would have some type of subcommittee representation or acknowledgement at the regional level. For example, municipalities have different local law enforcement agencies. Under the ESF concept, these law enforcement agencies all function as one under ESF-13. Some ESFs may be state-level functions, such as Urban Search and Rescue, and would not require a subcommittee at the regional level.

- a regional emergency operations plan.

Each region is required to assess its own strengths and weaknesses for emergency preparedness and determine region-wide emergency preparedness priorities. The process is intended to be a bottom-up type of approach. This method clearly allows for variation and flexibility to address regional needs as defined by the region. However, while each region will have different strengths and weaknesses, it is not clear that each region will meet some type of minimum or common standard of preparedness. Given the strengths of multi-disciplinary and inter-jurisdictional cooperation, something akin to minimum standards or response capabilities may be the natural result of the current processes. However, if this is not, the question of minimum capacities may have to be addressed directly by the department.

Even without a minimum standard to aim for, the funding formula does not weigh the preparedness needs of one region compared to the needs of another. For example, Region A could be receiving funding based on the existence of a chemical plant in its jurisdiction. Region A may decide that there are sufficient local resources to deal with any problems with the chemical plant, and it could then use that money to address other needs it has identified. But these other needs may be of a lower priority when compared to the needs of Region B that does not have a chemical plant and is struggling to meet basic preparedness necessities.

The logic of the current risked-based formula hinges on equating the existence of critical infrastructure in a municipality with the needed level of preparedness of local governments and regions. It is not at all clear what action the municipalities or regions will or should take to lower the vulnerability scores of private facilities in their towns. The point of homeland security funding for the regions is to increase their preparedness for and response to terrorist acts and other emergencies. The bulk of the funding goes to aiding first responders who can reduce the life loss and the extent of damage to facilities. While that is an important core responsibility of emergency management, it only relates in small part to the total CARVER overall risk score.

The current needs assessments may not provide adequate information about the status of statewide preparedness for planning purposes. The needs assessment to be completed this year will rely on each region to perform its own SWOT analysis. The quality and thoroughness of this analysis will depend on the number and type of first responders and other specialists in each region who will come to the table to identify the various strengths and weaknesses in their current preparedness efforts. The SWOT analysis, while helpful in many aspects of project planning, may be insufficient in systematically identifying gaps in preparedness activities. A comprehensive preparedness analysis can be a complex, technical, and data-driven exercise.

A SWOT analysis was used in the 2007 federal homeland security grant process. Stakeholders developed 25 strengths (preparedness elements to maintain) and 25 weaknesses (preparedness elements to improve) based on their own experiences and expertise. No comprehensive assessment of what effect a plausible catastrophe, like those outlined in the 15

federal planning scenarios,38 would have on Connecticut currently exists. While some regions have had the benefit of a natural disaster hazards assessment through prior grants from the Federal Emergency Management Agency (FEMA), no comprehensive assessment of risks to the state has been conducted.

Recommendation. In conjunction with the risk-based funding methodology, DEMHS should consider adjusting the regional funding formula to include a factor or factors that take(s) into account the preparedness needs of each region as initial regional organizational objectives are met. In developing the information about preparedness needs, DEMHS should conduct a comprehensive all-hazard risk and vulnerability assessment of large scale disasters and catastrophes that can plausibly be expected to occur in Connecticut to assist in identifying the individual needs of regions.

Clearly, bringing together diverse, multi-disciplined professionals to establish emergency management planning and preparedness regions is a monumental task that DEMHS has taken on. It is understood that the initial activities, such as the SWOT analysis and regional operations plans, will aid in unifying each region to achieve a common goal. However, in the near future, additional refinements and more technical levels of assessment will be necessary to direct the ever diminishing resources to the right regions.

Buffer Zone Protection Program Comparison

The program review committee asked staff to compare the state's critical infrastructure list with the sites that are considered critical under the federal government's Buffer Zone Protection Program. Staff examined the state's complete critical infrastructure list, the list of the federally funded buffer zone sites for 2005 through 2007, and the lists of buffer zone sites that were eligible for funding in 2006 and 2007 but not selected by DEMHS because of limited federal financial support. Staff reviewed the lists to:

- determine how the federal government selected BZPP sites for eligibility and compare them to the state's ranking of the sites;
- establish how the DEMHS commissioner selected which sites would receive BZPP funding; and
- verify how many recommendations were implemented.

The specific criteria that the federal DHS uses for determining which critical sites to fund through its buffer zone protection program have not been made available to the state. Based on a review of sites deemed eligible for funding under the BZPP, the formula appears different from what the state uses for the creation of its list and priorities. In the first year of the BZPP -- 2005 -- 17 Connecticut sites qualified for funding under the program. Eleven sites were originally identified by DHS, and the state recommended additional sites to DHS and got six sites added. *The committee*

38 The 15 national planning scenarios (NPS) highlight the scope and complexity of plausible terrorist attacks or major disasters (12 are terrorist-related scenarios, such as a chemical or radiological attack, and three are natural disasters, such as a hurricane). The NPS are intended to be a reference resource to government agencies to help evaluate and improve capabilities.

found that the original 17 federal buffer zone program sites are contained within the top 100 sites considered critical by DEMHS and are consistent with the state's priorities. Program managers have speculated that DHS uses more specific and updated threat information to select its priority sites.

In 2006 and 2007, DHS presented DEMHS with a list of sites it considered critical and allowed the state to pick one site for each year to receive funding. *The committee found that many of the choices DHS presented to DEMHS to fund under the federal buffer zone program for 2006 and 2007 were not within the top 100 sites considered critical by DEMHS; however, the commissioner selected sites that were consistent with the state's priorities.* The DEMHS commissioner chose facilities in those years that were part of the original 17 sites, so that those sites would receive additional funding. The commissioner's rationale was that the original funding from 2005 was insufficient to complete necessary security improvements. It was believed that it was better to try to complete the work begun in 2005, rather than partially fund other sites. The amount of grants to jurisdictions is relatively small and is limited in the type of improvements that can be done. In 2005, the amount of funding was $50,000 per site; in 2006, it was $189,000; and in 2007, it was raised to $194,000.

Buffer zone site assessment and protection. Once a site is determined to be eligible for the BZZP, a risk/vulnerability assessment must be conducted and a protection plan must be developed that identifies measures that will reduce the risk of a successful terrorist attack. To date, of the 17 sites requiring 19 plans, 17 buffer zone plans have been approved by DHS, and 16 plans have been implemented (meaning the equipment has been purchased and put into place). While DEMHS performs the assessments and makes recommendations, local law enforcement officials select which improvements to implement to increase the level of protection. According to DEMHS, all of the primary recommendations have been implemented from the 16 plans and the local jurisdictions have purchased equipment that the municipalities believe would best improve their ability to protect the sites.

Recommendation. Similar to the recommendation above, DEMHS should develop a system to capture information about the usefulness of the buffer zone protection program assessments performed by the department and the extent to which mitigating recommendations have been implemented and report the results in an aggregated format in DEMHS' annual report.

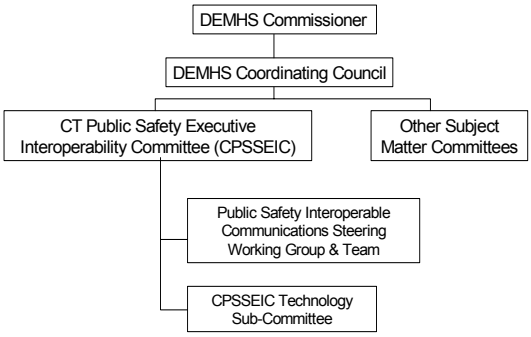
Chapter VII

COMMUNICATIONS

Pursuant to state law, DEMHS is responsible for coordinating homeland security communications and other state government communications systems with state and local government personnel, agencies and authorities, the private sector, and the general public. The DEMHS coordinating council, established to advise DEMHS on a variety of issues, is charged with developing recommendations for the state's overall communications system. Over the years, several efforts to address statewide communication interoperability have been initiated and continue to evolve. The following chapter provides an overview of the current status of the state's progress regarding emergency communications.39

As Figure VII-1 shows, there are various working groups within the DEMHS organizational structure assessing the communications issue. The primary purpose of the Connecticut Public Safety State Executive Interoperability Committee (CPSSEIC) is to make recommendations to the DEMHS coordinating council and the DEMHS commissioner with respect to sharing real-time voice, data, and video information with first responders and other critical components of the emergency management and public safety community. Assisting the work of the executive interoperability committee is a steering committee and technology sub-committee.

Figure VII-1. Governance Structure for Communications



Goals and Objectives

The State Homeland Security Strategy (SHSS) and DEMHS internal strategic documents have essentially one goal in this area – enhance the existing statewide communications system. Combined these strategic documents contain nine objectives related to communications. An examination of these objectives reveals that *five of the nine objectives regarding communications are ongoing while four have been partially met.* The nine objectives, along with the program review committee findings, are provided in Table VII-1 and discussed throughout this chapter. (A complete listing of communication goals and objectives is provided in Appendix H.)

39 Many of the findings noted in this chapter are derived from the State Communications Interoperability Plan.

Table VII-1. Status of Communications Goals and Objectives	
Status	**Objectives for the Statewide Communications System**
Ongoing	1. The state continues to enhance the statewide emergency telecommunications infrastructure and emergency notification system. 2. A Statewide Interoperable Communications Plan (SCIP) has been drafted. Although a final plan is expected in December 2007, the plan is considered a living document that will be reassessed and updated on an annual basis. 3. An emergency notification system for local emergency management directors, DEMHS staff and key stakeholders has been developed and tested. Locals will be permitted to pursue this at their level. 4. The Emergency Broadcast System continues to be tested on a weekly basis. 5. A high-band radio system is being maintained and tested statewide on a monthly basis.
Partial	6. A Tactical Interoperable Communications plan has been completed for DEMHS Region 1. TIC plans for the remaining four DEMHS regions are currently being developed. 7. DEMHS and DPS have coordinated a testing system for the ITAC/ICALL system. 8. The mechanism to disseminate information regarding terrorist threats and attacks to state and local authorities via e-mail is anticipated by March 2008. The dissemination of information that has a law enforcement purpose is handled by intelligence bulletins and is distributed via the Homeland Security Information Network. 9. An e-alert system to notify private sector stakeholders of any change, specific to their sector, is expected by March 2008. Information distributed to the private sector is pushed out via Infragard, which is provided by FBI.
Source: LPR&IC analysis of SHSS and DEMHS documents	

State Communications Interoperability Plan (SCIP)

Through the Public Safety Interoperable Communications grant program and the 2007 Homeland Security Grant Program (HSGP), the federal government has required all states to develop and adopt a statewide communications interoperability plan. DEMHS, the state's HSGP administrator, has prepared a plan to comply with the federal mandate. The CPSSEIC and its working groups drafted the plan using a practitioner-driven approach where input was sought from stakeholders at the local level. (Further discussion of the plan development is provided below.)

A final state communications interoperability plan was submitted in December 2007 for peer review and federal approval. The expectation is that the federal Department of Homeland Security will provide grant money to be spent over a three-year period (2010) for plan implementation. The grant money provided by DHS will be used to make progress toward the goal of communications interoperability. Additional funds will be provided by Connecticut to continue and maintain this project.

There are federal criteria and specific components that must be addressed in the plan. The SCIP must define a strategic vision and a set of goals and objectives for improving interoperable communications statewide. Among other things, the plan must describe the state's existing communications interoperability environment and specifically address the current level of technology and equipment, the use of standard operating procedures (SOPs), and the availability of training and exercise. The plan is considered a living document to be assessed and updated annually as progress develops and circumstances change. An updated statewide plan must be submitted to DHS at least every three years.

Existing Communications Systems

The first phase of the plan is to assess existing communications systems. The state is in the process of conducting an inventory of the different communications systems and equipment operating throughout the state. The inventory process is an ongoing project as equipment and systems evolve and are subsequently replaced.

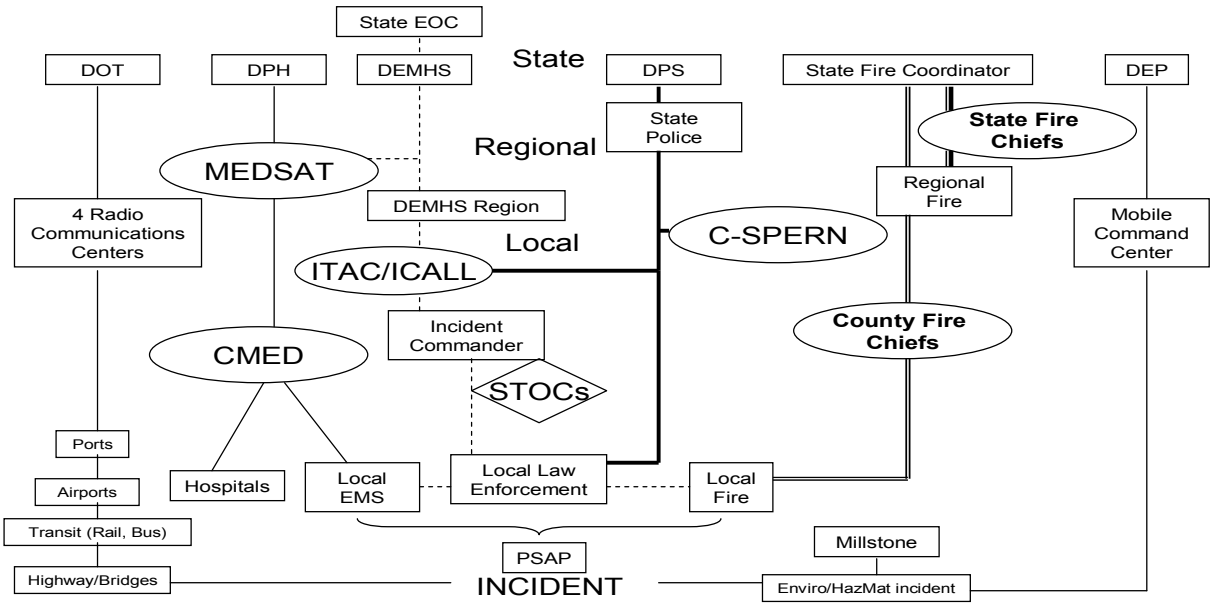
Based on the information collected to date by the various communications working groups, Connecticut currently does not have a complete interoperable system. Connecticut has several legacy communications systems that are used for interoperable communications. Historically, emergency response communications systems within the state were built as stand-alone systems designed to meet the individual system user needs. The capability of these existing communications systems varies widely due to the state's terrain and the financial limitations of the various communication operators.

Other factors contributing to the current level of interoperability include: incompatible and aging communications equipment; inadequate and restricted funding; disjointed planning efforts; lack of coordination and cooperation; and limited and fragmented radio spectrum. As a result, there are gaps in local, regional, and statewide emergency communications systems.

Voice communications systems. Connecticut has several voice communications systems that range from local to regional to statewide. Figure VII-2 provides a general outline of the various emergency response communications systems used in the state. As illustrated in Figure VII-2, different state agencies have their own communication networks and systems.

The Department of Public Safety operates and maintains an 800 MHz system primarily used by the Connecticut State Police, which also serves as the backbone of the communication infrastructure for different groups. This DPS statewide system was installed in the 1990s and supports ITAC/ICALL, which allows all public safety (police, fire, and EMS) commanders to communicate. The DPS system also supports the Connecticut State Police Emergency Radio Network (C-SPERN), installed in 2007 and available to all Connecticut law enforcement.

Fig. VII-2. Overview of Communications Systems on State, Regional , and Local Level



Fire services utilize two primary communications systems. Both were established in the 1950s and are supported by the Connecticut Fire Chiefs Association. The Connecticut State Fire Chiefs System is used by Connecticut regional fire communications centers and the State Fire Coordinator. The Connecticut State County Fire System serves the local fire services, regional fire communications centers, and the State Fire Coordinator in Connecticut.

The Department of Public Health operates and maintains a medical satellite network (MEDSAT) for voice communication among medical personnel. Deployed in 2004, this network provides a connection to all Connecticut general hospitals, DPH, DEMHS, coordinated medical emergency dispatch centers (CMED), and the Connecticut Hospital Association. DPH also has both a health alert network for surveillance and a wide area network capable of transmitting both voice and data communications.

The Department of Transportation has multiple voice channels and utilizes four district radio communications centers to manage day-to-day operations. Two DOT operation centers monitor statewide DOT communications and traffic. Radio broadcasts are used to alert motorists of traffic conditions in certain parts of the state. DOT also provides radio communications for four airports and for the agency's movable bridges over waterways.

The state Emergency Operations Center (EOC), overseen by DEMHS, has several voice radio systems covering a range of spectrum, an emergency alert system, a microwave broadcast fax capability, and partners on a number of systems that include ITAC/ICALL and MEDSAT.

Finally, the Department of Environmental Protection (DEP) has a mobile command center that is equipped the several technological devices and is available for large and small scale events. In addition to having the capacity for data communications, the command center works with 8 operating towers with an additional tower planned. DEP has many different channels available for communications with its districts, the state police, and other state agencies. DEP is contacted for oil or chemical spills, dam flooding, hazmat incidents, and radiation problems. The emergency operation centers for the municipalities that are within the Millstone emergency planning zone or that serve as host communities for a Millstone incident have received a control station for ITAC/ICALL.

Interoperability at the local level. Communications become more critical when an incident overwhelms the response and resource capability at the local level. Locals may request other area responders to assist in managing the situation. Responding units must have a communications system in place that will provide interconnectivity among the various responders at the incident scene.

The existing communications and interoperability environment among Connecticut localities varies widely. Some localities can communicate among their various first responders (fire, law enforcement, and EMS) as well as with other localities and emergency response partners, while others can not. Some municipalities have new or relatively new radio communications systems that are not interoperable with their neighboring communities. At the moment, certain regions of the state as well as several disciplines have attained a high level of communications interoperability, while others have not. A brief discussion of the current status of communication systems by discipline is provided below.

Local fire and law enforcement. All municipal fire and police departments in the state have a voice communications system. In some communities, both police and fire departments are on the same system. However, in most areas of the state, they are not. As stated previously, the Connecticut Fire Chiefs Association supports two systems for local, regional, and statewide voice communications.

Some municipal police departments have limited common regional communications system, depending on the area of the state. However, all law enforcement personnel have access to C-SPERN. All first responders, including police and fire, may also utilize 800 MHz radios with the ITAC/ICALL frequencies provided by DEMHS to communicate. In addition, DEMHS has assigned State Tactical On-scene Channel (STOC) boxes to allow incident commanders to communicate.

Local emergency medical services. Each basic ambulance and paramedic unit in Connecticut is required to be equipped with a two-way radio capable of communicating with the state's 13 coordinated medical emergency centers (CMED). CMED links EMS field personnel with the hospitals and emergency departments. CMED is one of the state's oldest (25 years+) communications systems. CMEDs are now part of MEDSAT, which is operated by DPH.

Public safety answering points (PSAPs). Public safety answering points are the first point of reception of a 911 call. Operated on a 24-hour basis, these facilities dispatch emergency response services or relay 911 calls to other public safety agencies. PSAPs are typically housed in a police department, fire department, or emergency communications center. Most municipalities operate their own PSAP. However, some municipalities provide 911 services through a regional communications center. All PSAPs have been provided a control station for ITAC/ICALL.

One weakness of PSAPs noted by the DEMHS State Strategic Plan is that "there is no overarching governance regarding standards of dispatch, communication flow, outbound communication and prioritization flow of information."40 To address this weakness, DEMHS has proposed an initiative to establish a state interagency coordination center (SICC). As discussed in Chapter III, SICC would serve as the hub and hotline for all state answering points. SICC would coordinate and monitor all state agencies and all tactical level responders. (Further discussion of the SICC is provided later.)

Development of the Statewide Communications Interoperability Plan

As noted earlier, the Statewide Communications Interoperability Plan was developed by the Connecticut Public Safety State Executive Interoperability Committee. The committee is composed of 20 individuals representing a variety of disciplines. As seen in Table VII-2, *DEMHS has established a governing structure with representatives from all pertinent emergency response disciplines to address the state's interoperable issues.*

Table VII-2. Participating Agencies	
CT Commission on Fire Prevention and Control	CT EMS Advisory Board
CT Emergency Manager's Association	CT Fire Chiefs Association
CT Police Chiefs Association	Department of Correction
Department of Environmental Protection	Department of Information Technology
Department of Public Health	Department of Public Safety
Department of Transportation	Department of Emergency Management and Homeland Security
Judicial Department	Military Department
Office of Statewide Emergency Telecommunications	Representatives from all 5 DEMHS regions

The groups represented include public safety, transportation, corrections, public health, the military, information technology, environmental protection, judicial, the police chief's association,

40 DEMHS State of Connecticut Enhancement & Strategic Plan (2007-2011),p.32

the fire chief's association, fire prevention, the EMS advisory board, statewide communications, the emergency manager's association, and representatives of each of the five DEMHS regions. This multi-disciplinary approach should enhance coordination and cooperation as well as potentially reduce any internal jurisdictional conflicts.

Regional meetings and questionnaires were used to develop information from the different stakeholders. The questionnaires were provided to all chief executive officers, tribes, fire departments, police departments, emergency management directors, emergency medical services departments, homeland security points of contacts, state and federal agencies, and non-governmental agencies. A total of 276 individuals attended the sessions, and 80 completed the survey for a 30 percent response rate.

A total of six meetings were held – one for stakeholders in each of the five DEMHS regions and one for state and federal agencies. The purpose of the meetings was to encourage input and participation in the plan development, measure the current level of interoperability, and promote a sense of investment for all stakeholders.

The survey served to identify common problems such as the lack of interoperable communications equipment, governance, training, and standard operating procedures. The survey results reported in the SCIP plan indicated some groups have purchased or received adequate equipment but do not use it regularly or completely understand how to use it, while other groups do not have the necessary equipment. Others noted that they did not have standard operating procedures and required help to develop them. Several also mentioned that training was insufficient.

Overview of Components of the Statewide Plan

As noted earlier, the SCIP is federally required to contain an overall strategic vision as well as steps to address specific issues such as training and exercises, standard operating procedures, and other components. The following provides an overview of some of these areas.

Strategic vision. The plan's stated vision is: "*By 2015 agencies and their representatives at the local, regional, and state level will be able to communicate (voice & data) using compatible systems, in real time, across disciplines and jurisdictions, to respond more effectively and timely to day-to-day operations and major emergency situations."*

Once the statewide communications inventory is complete, the state interoperability plan's general approach is to phase out and replace existing and older technology and equipment with newer technology. The age, condition, and capabilities of the existing technology will determine the transition schedule. Various interfaces/gateways41 such as STOC boxes will be installed and used to provide connectivity with different sets of equipment. This will continue until the existing equipment has reached the end of its lifecycle and new interoperable equipment will be purchased. The ultimate goal is to migrate all public safety practitioners to a common bandwidth (700 MHz) over time. Because funds in some localities have been recently expended for communications, it is

41 Gateways retransmit across multiple frequency bands providing an interim interoperability solution.

not expected that such systems would immediately be replaced. All existing capabilities will be maintained until migration is complete.

Training and exercises. A required component of the SCIP is to identify the process by which the state will ensure that appropriate training and exercises are available to all practitioners across the state. *DEMHS has recently hired five regional trainers who will assist in the development and implementation of training programs for use of interoperable equipment and ensure federal NIMS compliance.* The trainers will ensure cross-discipline training by developing working relationships with representatives of municipal and tribal police, fire, EMS and emergency management agencies, and state agencies such as DOT, DEP, DPH, DPS, DOIT, and DEMHS.

One immediate recommendation of the plan is to hire a full-time interoperability coordinator. The coordinator's primary responsibility will be implementing all components of the SCIP in conjunction with the interoperability committee. The coordinator will be the main point of contact for incoming information such as changes in technology and usage.

The coordinator will also develop and coordinate statewide communications training and exercise programs. The new DEMHS regional training staff will collaborate on the training, exercises, and drills ensuring multi-jurisdictional/discipline partnerships on a regular basis. The coordinator will prepare and report results to the interoperability committee. It is expected that the coordinator position, along with the location and reporting structure, will be established and funded as requested.

Standard operating procedures. The SCIP survey results found that *standard operating procedures for communications are not consistent throughout the state.* Currently, each locality has varying levels of SOP documentation. While some cities and towns reported having formal written SOPs, other survey respondents indicated they have informal, unwritten agreements; others indicated they have no SOPs in place at all. The plan identifies this as an area requiring further attention.

DHS recommends that standard operating procedures must be established at the local level as well as jointly for planned events and emergency events. All SOPs must be written in a user-friendly format, follow NIMS guidelines, and training must be provided to all involved individuals. SOPs should also be designed on a regional level to ensure integration of NIMS. To address this, the plan proposes that the coordinator when hired will assist with the writing of joint SOPs to ensure that SOPs are written, understood, trained on, and complied with.

Tactical interoperable communications (TIC) plans. Another SCIP requirement is to identify any tactical interoperable communications plans in the state. TIC plans, which are federally required, outline the procedures and processes that will be used during a significant incident within a specified region. The development of TIC plans helps to identify specific problems, needs, and barriers to communications among the area's agencies and disciplines. It names potential partners and their roles and responsibilities. It inventories the area's communications resources and details how those resources would be used to provide communications among all first responder agencies.

Tactical Interoperable Communications plans will be developed for all five DEMHS regions. The DEMHS goals state that all regional TIC plans are to be completed by January 2008. DEMHS

reports that the goal date will not be met due to staffing limitations. *To date, only DEMHS Region 1 has been completed.* Given the number of towns in each region and the volume of information required, the coordination and time commitment involved in preparing TIC plans is considerable. The interoperable coordinator will provide assistance in this function. When completed, the TIC plans will be integrated into the SCIP.

Building redundancies. In addition to establishing an interoperable communications system, redundancies must be established to ensure tower sites, repeaters, antennas, and other communications assets are able to continue operations uninterrupted. *Currently, only the Connecticut State Police have redundant systems in place for catastrophic communications losses. All other communications systems have redundancies to a certain point.*

According to DEMHS and the chairs of the interoperability communications committee, different redundancy options exist. In addition to the CSP system, the state has mobile decontamination trailers with mountable communications towers that can be brought to any location to provide backup and redundancy during times of communications loss. Each DEMHS region has high band radio capability to communicate with towns and cities when other forms of communications fail. The state has access to military affiliate radio systems (MAR), which can run a cross-state repeater system as well as MEDSAT, a satellite enabled system. A network of amateur ham operators across the state is also available. Furthermore, the federal government has required each state, as a condition of receiving the grant money associated with SCIP, to purchase a cache of communications equipment known as strategic technology reserve (STR) to resolve catastrophic loss of communications assets. (Further explanation of STR is provided later in this chapter.)

Data communications. The first SCIP priority is to establish voice communications interoperability. Although voice communications is a major component of the statewide communications system, it is not the only component. The ability to send and receive data and video to respond to an event must also be established. *The lack of voice and data communications interoperability continues to be a challenge.* Agencies often cannot communicate or exchange data information with other jurisdictions. To address this, SCIP will initiate an approach similar to the process outlined for voice communication interoperability. Existing systems and networks will be assessed for data communications, and efforts for data interoperability will commence.

Performance measures. The federal criteria for SCIP recommend that the statewide plans set performance measures to gauge the success of interoperability efforts and implementation of the plan. *Connecticut's SCIP states performance measures will be established as detailed project plans are developed for the various SCIP goals.* The long-term baseline measures will be:

- the ability and effectiveness of local, regional, state, federal, tribal nations, non-profit and private entities to communicate with voice data and video; and

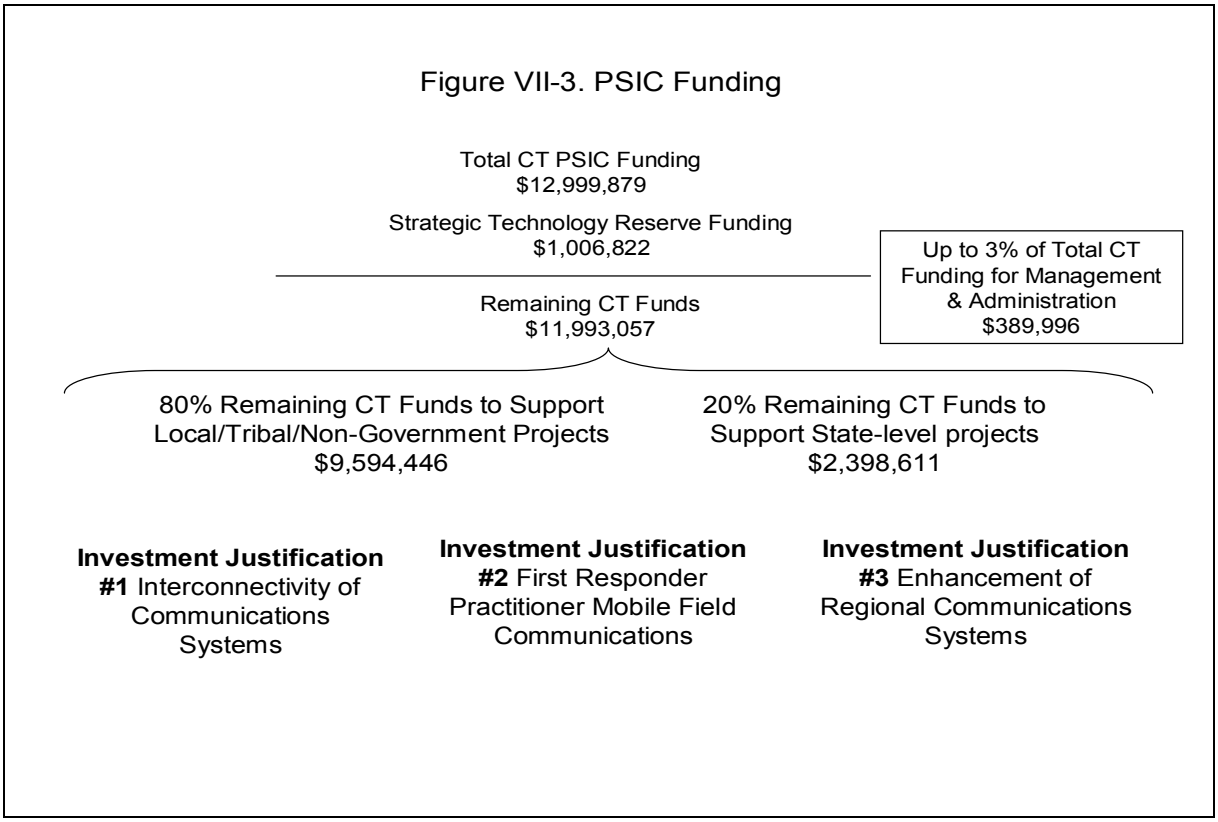
- coordination with state agencies' interoperable communications efforts.

According to the chairs of the state interoperability committee, the performance measures will be used in tandem with an annual self-assessment based on an interoperability continuum developed by the federal DHS. This tool was established to depict the core facets of interoperability.

These elements include governance, standard operating procedures, technology, training/exercises, and usage of interoperable communications. A copy of the continuum is provided in Appendix L.

PSIC funding. It is anticipated that Connecticut will receive approximately $13 million to begin implementation of the statewide interoperability plan. According to DEMHS, three key "investment justifications" or goals have been developed. The breakdown of the PSIC funding is presented in Figure VII-3.

Figure VII-3. PSIC Funding



To receive the PSIC grant funds, *the state must establish a strategic technology reserve of deployable communications equipment in the event of an emergency or major disaster.* This requirement allows for a cache of extra communications equipment (e.g., land mobile radio equipment, cellular and satellite enabled equipment, self-contained mobile communications sites, backup power, and IT equipment) in case of a catastrophic failure or surge in needs. This cache is considered supplemental to day-to-day communications equipment. This requirement is satisfied by some of the purchases made under the second investment justification described below. Another PSIC grant requirement is that 80 percent of the funds must directly benefit local and regional interoperable communications and 20 percent must support state projects.

The first goal or investment justification, expected to consume a significant portion of the PSIC funds, is to connect PSAPs, communications systems, and identified public safety facilities (e.g., fire, law enforcement, EMS, and local public health facilities) on a proprietary resilient network with fiber optic redundancy. These funds would supplement the equipment purchase for a

wireless network and for 700 MHz connectivity. It is anticipated that 911 surcharge monies (about $3 million in matching funds) will also be used.

The second goal or investment justification is actually three projects to improve mobile field equipment, training, and coordination. The first project is to purchase hardware and stockpile equipment that satisfies the STR requirement. The second proposal is to purchase six rapid response mobile interoperable communications vehicles (one each for the five DEMHS regions and one for statewide use) that enable cross-communications with state agencies and regions as well as the capacity to connect entities that are not commonly linked. Memoranda of understanding will be developed to strategically house these vehicles at different secure localities and outline the provisions for vehicle deployment to different localities and EOCs as needed. According to DEMHS, this mobile communications approach is used by New York and the National Guard. These funds will also provide training to personnel authorized to operate these units. The third project is to purchase the necessary equipment to set up a mobile Emergency Operations Center. This would provide a portable temporary operating environment during incidents and would be similar to a local area network. It will have the capacity to set up radios, 20 phone lines, and laptops.

Through the third goal or investment justification, DEMHS will determine gaps in regional communications systems and prioritize needs. DEMHS will identify whether funding should be expended to maintain an existing communications system or to upgrade and migrate to a common bandwidth (700 MHz). For example, this could include an evaluation of the aging CMED system to determine if and how it should be maintained until the 700 MHz build-out is complete. These funds would procure and install equipment to fill regional gaps. According to DEMHS, no determinations have been made as to which systems would be initially evaluated.

Summary

Achieving interoperability on a statewide basis is a complex process. *Interoperability is a challenge that cannot be addressed by one entity but rather must involve multiple entities.* A partnership among local, state, and federal public safety organizations and industry is required. Several initiatives, as outlined in the statewide communications interoperability plan, are needed to provide a coordinated approach to resolving long-standing inadequacies in public safety communications systems.

The plan's primary mission is to provide for a statewide telecommunications infrastructure and protocol that will allow for timely, efficient, and cost-effective communications (voice, data, and video) for all public safety and other public agencies (state, regional, and local). As a result, the state will be able to provide an appropriate coordinated response to any and all emergencies involving multi-jurisdictional, multi-disciplinary agencies.

To accomplish this, existing legacy systems will need continued support as an ongoing migration plan allows all practitioners to operate on a common bandwidth enhancing interoperability. Although the statewide strategy will require the procurement of new technologies, adequate and appropriate technology is just one solution to the interoperability problem. Unless emergency response agencies routinely use interoperable equipment, establish standard operating procedures, and train, they will not be prepared to use the equipment in infrequent large scale

incidents. *Once approved, the statewide communications interoperable plan will be a significant initial step toward public safety communications interoperability, improving system coverage and operations, information sharing, and partnering for governance.*

Mass Emergency Notification

The dissemination of emergency information and instructions in a threatened or actual emergency is defined in the state's Emergency Alert System (EAS) plan.42 EAS defines the procedures for designated government officials as well as the broadcast and cable services. The purpose of the plan is to provide a single source of qualified information and instructions regarding any emergency situation to all broadcasters and cable systems in the state.

With the use of encoders, EAS can be activated directly by DEMHS, CSP, and the National Weather Service. The EAS can be activated to provide warning to specific portions of the state. Local authorities may also request local EAS activation through the Connecticut On-line Law Enforcement Telecommunications (COLLECT) system through the CSP.

The EAS encoder allows authorized entities to record an emergency message for where and when residents can tune for emergency information including actions taken by state and/or local governments. If necessary, the EAS message can direct attention to public information briefings, that may be carried on radio stations, television stations, and cable systems. Television stations and cable systems will also transmit video crawl explaining the emergency interruption. The FCC requires monthly testing of the EAS by DEMHS and CSP to assure the successful operation of the system. Broadcast stations and cable systems must randomly test at least once a week. In addition to EAS, the use of outdoor warning devices such as sirens or public address systems may be used for incidents related to nuclear power facilities or involving hazardous materials.

Reverse 911. In addition to EAS, local authorities are permitted to pursue other mass emergency notification systems at their level. In March 2007, the Connecticut Department of Information Technology awarded Reverse 911, an Indianapolis-based organization, a contract as the state approved emergency notification software provider. The contract allows cities and towns to pay for the Reverse 911 system with either state homeland security funding or standard budgetary funds. The cost depends on the options purchased. Towns may either purchase the Reverse 911 system and related software to run the program themselves, or they may select a service-based option whereby the system is operated for them. According to DEMHS, the operating costs are based on the number of calls dialed plus approximately $2,500 to purchase the telephone database which needs continuous updating.

Reverse 911 assists towns to obtain phone number databases, but it is up to the towns to decide how the information in the calling system should be used and protected. The database is a

42 The plan is prepared through the Connecticut State Emergency Communications Committee (SECC), a collaboration of federal, state, and local entities including: DEMHS, DPS, FEMA, the Federal Communication Commission (FCC), the National Weather Service, the Connecticut Broadcasters Association, and the broadcasters and cable systems of Connecticut.

mix of listed phone numbers, cell phone and unlisted numbers, as well as numbers that residents have voluntarily given to the town. If an individual does not want to be part of the database, they can opt out.

Reverse 911 combines the calling data and utilizes GIS mapping technology to geographically target and notify affected individuals. Towns outline the targeted area on the online map and then record and launch a voice message. Simultaneously, Reverse 911 dials all phone numbers in the designated calling zone.

If phone lines are busy, the system will attempt to redial those numbers a predetermined number of times to make contact. If an answering machine picks up the call, the emergency message will be left on the machine. In addition to land lines and cell phones, Reverse 911 can also send notifications to phone numbers registered to pagers, fax machines and TTY/TDD devices for the hearing impaired. Notification results that provide call session statistics are immediately available. This can assist localities during door-to-door evacuations.

Among the potential uses for Reverse 911 are emergency evacuations, natural disaster alerts, hazardous material leaks, homeland security alerts, search and rescue operations, missing person alerts, wanted person alerts, neighborhood emergency incidents, and special community notifications.

The implementation of Reverse 911 at the local level is expected to enhance communication abilities during crisis situations and improve emergency response with fast delivery of mass notifications to citizens and first responders. This technology is considered a valuable tool for local officials to use to notify residents of a pending or ongoing incident without over-reliance on news media for information.

According to DEMHS, more than 40 municipalities in the Hartford region and about a dozen in the Fairfield region are using federal homeland security money to buy emergency calling systems from Reverse 911. Almost half of the state's 169 municipalities should have the system by 2008 which would cover approximately 70 percent of the state's population. Appendix M provides a listing of towns that have purchased Reverse 911 with homeland security funds.43

System limitations. As noted, Reverse 911 does not notify unlisted numbers or cell phones unless manually added to the database. Cell phones may be entered in a database. However, the cell number is linked to a specific address then the location of the cell phone becomes fixed to that location. Therefore, a situation may arise where the cell phone user is mobile and in the affected area, but is not notified because the fixed location of the cell number is in an unaffected area. In addition, the calling system may become less effective as the geographic area gets larger due to the outgoing call capacity of the system and reception capacity of the towers in the affected area. DEMHS acknowledges the system still has some issues to be resolved.

43 According to DEMHS, there may be towns that purchased mass notification systems from other vendors. However, this information is not regularly tracked.

Committee staff discussions with DEMHS and DOIT representatives regarding the Reverse 911 system raised a few issues. First, a mass notification system is a voluntary purchase for municipalities. Second, towns are being charged by the telephone companies to supply the telephone number database in their communities despite the fact that the Office of Statewide Emergency Telecommunications (OSET) within DPS already pays the companies to manage a statewide database for PSAPs to operate the Enhanced 911 system. Finally, DEMHS has maintained no role in managing the contract or tracking which towns have acquired it.

The program review committee believes *this method of mass notification while not perfect does provide a valuable tool for emergency management.* As such, program review committee recommends that **a mass notification system, such as Reverse 911, should be a required homeland security fund purchase for municipalities.** This is not unprecedented. In the past, DEMHS has required municipalities to purchase certain communications equipment with homeland security funds. Of course, a concern would be the ongoing operating cost of maintaining such a system if federal funds diminish. To that end, **DEMHS should work with OSET to ensure the cost to towns for databases is minimal.** Program review staff was told that DEMHS is considering legislation to address the purchase cost of the database. Finally, **DEMHS, along with DOIT, should have a role in managing the mass notification system contract and tracking who has acquired it.**

Public relations and awareness. As noted in the briefing report, DEMHS' public communications consists of public service announcements, news releases and briefs, media interviews, an electronic newsletter and website, and a public inquiry phone line. In early 2007, DEMHS commissioned a statewide survey of Connecticut residents to assess the effectiveness of its awareness campaigns and overall public knowledge of emergency preparedness. The Center for Survey Research and Analysis at the University of Connecticut conducted the study and made the following verbatim marketing insight statements:44

- "There is room for improvement regarding familiarity. Promotional campaigns to increase awareness are warranted."
- "Updated campaigns might specifically target younger adults, who tend to be less concerned about emergency preparedness."
- "Continue use of slogans, which are effective in increasing awareness of emergency preparedness. Focus on increased familiarity with the tips hotline, perhaps reaching out to school-age children who will share the information in households."
- "There is clearly a great deal of interest in obtaining information online. DEMHS will be tapping into a population that is used to and interested in obtaining information online."
- "Television, newspapers, and radio are also important media for disseminating information."

44 Center for Survey Research & Analysis, *Department of Emergency Management and Homeland Security*, (March 2007).

Currently, DEMHS does not have a public information officer. These duties are presently being handled by the DEMHS deputy commissioner. This includes handling of public awareness campaigns such as "See Something, Say Something." The deputy commissioner reports several new initiatives are being developed or considered with the assistance of the Federal Emergency Management Agency. Many are aimed at reaching school-age children.

The program review committee finds *the function of a public information officer is an important component for DEMHS and should be an ongoing responsibility for a permanent position*. Therefore, the committee recommends **a DEMHS public information officer position should be authorized and filled. Public service announcements and campaigns should be developed and revamped when necessary.**

Chapter VIII

Other Issues and Top Concerns

During the course of the study, the program review committee noted various issues related to selected management practices of the department. This chapter covers findings and recommendations regarding miscellaneous areas including: the development and reporting of goals and objectives; the use of administrative agreements; and an alternative site for the State Emergency Operations Center. In addition, this chapter includes a discussion of the DEMHS and DPS "top concerns" requested by program review committee members.

Goals and Objectives

DEMHS has engaged in an elaborate planning process that includes stakeholders from a wide variety of disciplines throughout Connecticut. In addition, the multi-disciplined Emergency Management and Homeland Security Coordinating Council (EMHSCC) also plays a key role in reviewing and commenting on major initiatives and strategic goals. In examining the strategic goal setting and planning process, along with the various planning documents and federal grant applications, the program review committee makes the following findings:

- *Some DEMHS goals tend to be short-term and/or do not convey a vision of where the department wants to be in the future.*
- *DEMHS objectives do not always have an expected date of accomplishment and do not usually have associated performance measures.*
- *DEMHS does not systematically track and report progress made on goals and objectives.*
- *Various federal and state documents contain an assortment of goals for DEMHS. The department does not provide a unified reporting system so that stakeholders, policy makers, or the general public can know the status of the goals.*

Goals are intended to provide an indication of the broader outcome of what is to be achieved. Objectives are more refined steps necessary to achieve the goal, while performance measures are ways to assess program results. Long-term goals can be found in the SHSS, the DEMHS internal strategic goal document, and in federal grants. In reviewing DEMHS' goals, there is not always a clear vision or anticipated picture of success in any particular area.

For example, the goal statement in the SHSS for communications is to "enhance the existing statewide communications system." Similarly, the DEMHS internal goals document contains the following goal for infrastructure: "continue the development of critical infrastructure plan for the State of Connecticut." Perhaps a more informative goal for

communications is actually found in the recently developed Statewide Communication Interoperability Plan, which states, "By 2015 agencies and their representatives at local, regional, and state level will be able to communicate (voice and data) using compatible systems, in real time, across disciplines and jurisdictions, to respond more effectively and timely to day-today operations and major emergency situations."

Typically, management literature emphasizes that well-designed goals and objectives are the product of five characteristics known by the acronym "SMART."45 That is they are: Specific (well defined); Measurable (know when it is achieved); Achievable (have stakeholder consensus); Realistic (acknowledge resource constraints); and Timely (have enough time to achieve goal). Most objectives have a date of accomplishment but not all do. For example, the expansion of CTIC has no date of accomplishment. Further, except for some general measures in the SHSS (which are not tracked or reported on – as discussed below), most objectives do not have any performance measures. It should be noted that DHS asks the department to provide a status of its SHSS goals and objectives. The federal monitoring report is the result of a self-evaluation that is reviewed by DHS. The results are considered "for official use only" and are not shared publicly by the department.

In addition, the accomplishment of goals and objectives is not systematically tracked and reported. The SHSS states that the department will, "at least biannually brief the EMHSCC in order that they may review the strategic goals, objectives, and implementation steps of Connecticut Homeland Security Strategy." This has not been done. The council does assist in the creation of the goals and the department usually gives topical updates about its activities to the council and to the legislature, through its annual report. In the last few months and in response to program review inquiries, the department has begun to provide the council with a limited idea as to how the department's activities relate to the accomplishment of the goals.

Basic notions of government accountability require that there be sufficient, credible, useful, and timely information about the effects of agency activities. Monitoring of performance is the only way to know if the resources and activities entrusted to government agencies are being managed efficiently and effectively, having the desired impact, and providing the highest possible quality service.

Therefore, the program review committee recommends **DEMHS should, when revising its state homeland security strategies and internal strategies, ensure that the goal statements provide a clear picture of what the department is trying to achieve and make certain all objectives have dates of accomplishment and meaningful performance measures. In addition, on at least an annual basis, DEMHS needs to develop a unified goals document that communicates the status of its goals and the results of its performance to the Emergency Management Homeland Security Coordinating Council and the legislature.**

45 George T. Doran, *There's a S. M. A. R. T. Way to Write Management Goals and Objectives*, Management Review (AMA Forum), November 1981, pps. 35-36.

Memorandum of Understanding

A memorandum of understanding between DEMHS and the Department of Public Safety has not been executed as required under law. In January 2005, DEMHS was created as a result of a merger of the Military Department's Office of Emergency Management and the Department of Public Safety's Division of Homeland Security. Under Public Act 04-219, the act that created DEMHS, the assigned personnel from DPS and the Military Department were under the sole direction of the DEMHS commissioner.

This authority was amended in the next legislative session by Public Act 05-256. This act specifies that the personnel assigned from those departments are under the "direction" of the DEMHS commissioner, but the public safety and military departments retain "administrative control" over state police officers and military personnel they assign to work in DEMHS. The act further requires that the DEMHS commissioner enter into an interagency memorandum of understanding with the other departments to provide for the temporary assignment and retrenchment rights of the DPS and military department employees and for interagency information sharing. The act limits personnel assignments under the memorandum to temporary assignments. DEMHS absorbed the employees from the military department obviating the need for an MOU. However, an MOU with public safety has not been executed.

The committee recommends that **the Department of Emergency Management and Homeland Security with the cooperation of DPS shall implement the provisions of C.G.S. Section 28-1a (e) relating to the creation of interagency memorandums of understanding.**

Notification of Federal Grant Award Reductions

DEMHS does not notify the legislature or seek additional state funding when federal grant funding is denied or reduced. Program review committee members have expressed concern that DEMHS has not received the full federal funding for which it has applied and demonstrated a need. In 2006, for example, DEMHS applied for $30 million in federal funding and received $13.5 million. Spending was reduced on all its initiatives, and one initiative was eliminated. In 2007, the department requested $27 million and was awarded about $10 million. Moreover the total amount DEMHS has received annually in federal funding has been reduced over the years. The department states that it prioritizes its initiatives and eliminates those it cannot afford. The department will also try to stretch existing resources to fill any gaps. DEMHS maintains that it does ask the legislature for funding to meet its most urgent needs.

The program review committee recommends **DEMHS shall notify the appropriations committee and the appropriate committees of cognizance in a timely manner of the status of federal grant funding when grant awards are less than what the department had applied for.**

Alternative Emergency Operations Center

As noted in the briefing report, *the state does not have an alternative site for the EOC.* The state EOC, located just west of the State Capitol, occupies the basement floor of the State Armory Building. This location currently accommodates spaces for the Governor's office, a conference room, computer rooms, a media center, a communications center, a weather center, and other support areas.

Any alternative EOC facility would require emergency backup power, emergency fueling, secured perimeter, video surveillance and special air-handling equipment for security reasons. It needs to provide seating for approximately 112 people with computer workstations and television monitors to operate as a command center in the event of an emergency.

In 2005, the Department of Public Works (DPW) developed a plan for alternate uses of the Connecticut Juvenile Training School (CJTS). Among the potential plan options considered was the use of the CJTS campus as a site for DEMHS offices and for the state EOC. However, the DEMHS commissioner reports that discussions for this site have ceased.

In his written testimony, the DEMHS commissioner mentioned the procurement of a mobile communications solution (discussed in the previous chapter) that allows first responders and emergency managers to establish a mobile emergency operations center wherever it is needed, or wherever it can be sustained during an emergency. DEMHS is also currently consolidating much of its staff into one centralized building in Hartford, which DEMHS reports will give the agency another work center in addition to the EOC. Other alternative sites that have been mentioned are Rentschler field in East Hartford or the former Southbury training facility that will soon house the DEMHS Region 5 offices.

The program review committee recommends **DEMHS, through a sub-committee of the coordinating council, should develop a plan to address the need for an alternative EOC no later than January 2009. In particular, the plan should outline all necessary EOC specifications and requirements and whether the alternatives currently being considered (e.g., mobile command center, Rentschler, Southbury) are viable and reasonable options. Once site requirements are determined, DEMHS, in conjunction with DPW, should identify potential alternative methods and/or locations available for the EOC.**

DEMHS and DPS Homeland Security Proposals

At the September 25, 2007 program review public hearing, some committee members asked that the commissioners of DEMHS and DPS provide the committee with a list of items needed to address the top concerns of their respective agencies regarding homeland security in Connecticut. Their responses are discussed below, and a copy of their formal written submissions is provided in Appendix N. Although committee staff met with each commissioner to discuss the proposals, the meetings could not be scheduled until late into the study process. As a result, committee staff was not able to fully evaluate these options

and subsequently recommendations have not been made. Therefore, the following is provided for informational purposes.

DEMHS Response

DEMHS reported three priority funding issues. The first priority is funding for the local emergency relief account established by statute. The second priority is funding for continuous stockpiling of supplies such as generators and water. The third priority is funding for improvements to the five DEMHS regional offices.

Local emergency relief account. Under C.G.S. §7-520, the state has established a local emergency relief account. Account funds, when available, are provided to municipalities that apply to a 12-member local emergency relief advisory committee, which is headed by the DEMHS commissioner. Municipalities must use the funds as reimbursement for emergency response costs for situations that posed an unusual and serious public safety threat and required immediate municipal spending, or as matching funds to qualify for federal aid.

Since 2001, the local emergency relief account has had little to no funding available. DEMHS officials did not know the reason for the historical lack of funding for this account. Nevertheless, DEMHS believes this account may serve an important function for localities experiencing events that do not quite satisfy federal requirements for emergency financial assistance. For example, funds may be available to a municipality for repair of public buildings after a flood, even if the total damage region-wide does not meet the thresholds under the federal Stafford Act for federal relief.46 DEMHS' initial estimate for funding this account is $1 million.

Stockpiling of supplies. Under C.G.S. §28-16, the DEMHS commissioner is empowered to purchase and maintain a stockpile of medical supplies, blankets, food and provisions, fuel, equipment, and any other supplies necessary to afford emergency relief and assistance to the residents of the state. The most recent DEMHS effort in this area was the purchase of sheltering cots. However, DEMHS believes *further stockpiling efforts for items such as medical supplies and personal protection devices such as masks are needed and must be maintained on an ongoing basis.* DEMHS suggests approximately $1 million could be used towards this effort.

Funding for DEMHS regional offices. The third funding initiative DEMHS proposed was for improvements for the regional offices. DEMHS believes the current regional office locations are physically inadequate and advocates for relocation. As noted in the briefing report, the DEMHS Region 5 office is in the process of relocating to the former Southbury training school. DEMHS offices in Regions 1 and 4 are located in the lower levels of different state police barracks. DEMHS Region 2 occupies space in the Department of Public Safety headquarters in Middletown while the Region 3 office is located in the Department of Veteran Affairs complex in Rocky Hill.

46 The Stafford Disaster Relief Act is the law that authorizes federal assistance when the President declares a state to be a disaster area. Financial assistance determination is based on a cost threshold that changes annually.

Program review committee staff visited the DEMHS regional offices and agrees that *space limitations at DEMHS regional offices exist, considering the recent and anticipated expansion of DEMHS regional staff.*

DPS Response

DPS submitted three long term proposals.47 One proposal would allow for a proactive response to possible bombing risks related to mass transit. Another proposal is the construction of a new Emergency Support Unit/Canine facility centrally located in Cheshire. The third proposal is an expansion of the truck inspection squad.

Mass transit squad. *DPS currently operates a mass transit squad on a limited basis.* DPS believes the squad delivers an efficient and effective method of providing enhanced security and detection at mass transit locations such as train stations, bus depots, and airports. The DPS proposal would increase the number of canine detection teams and allow the agency to conduct more frequent, unscheduled sweeps of various mass transit locations within the state as well as at large public events. The sweeps would be of rail, bus, and ferry services looking for suspicious activities, packages, devices, substances, and individuals. DPS believes other identified key assets could be included in this program.

The Connecticut State Police now has four K-9's at Bradley Airport and six for statewide use. The DPS proposal would add 12 bomb dog teams to the existing contingent. Each team is composed of two troopers (one dog handler/one bomb technician). The enhanced unit would consist of 24 troopers in the field plus two additional K-9 trainers. The unit would operate on a full-time basis and use existing bomb technicians from around the state. DPS estimates the cost of this proposal to purchase equipment, dogs and hire additional troopers is approximately $3.9 million. This proposal would increase CSP staffing above the authorized statutory level of 1,249 troopers.

Emergency Support Unit (ESU)/Canine facility. Built in 1967, the Emergency Support Unit is now located in a 5,000 square feet bay garage in Colchester. According to DPS, approximately 14 pieces of equipment must be stored outside, exposed to weather conditions significantly reducing their service lives. The equipment includes a bomb disposal truck, prisoner vans, weapons of mass destruction trailers, and riot equipment trailers.

In 1999, CSP was allocated $7.2 million to design and build a new ESU facility in Cheshire. Plans for a new ESU facility call for a 14-bay garage that will provide approximately 25,000 square feet of space. It will also contain a K-9 training facility and a 30-dog kennel. DPS believes this facility could also centralize training locations that can be used for homeland security issues, such as Urban Search and Rescue, and it could serve as a center for regional training.

Earlier this year, an additional $1.65 million was added by the legislature and the governor's office to cover inflationary costs. At the time the program review committee

47 DPS reports that the cost estimates submitted in the DPS written response (see Appendix N) were prepared two years ago. The costs noted in this chapter are updated figures prepared by DPS.

asked DPS for its top proposals, the bond money associated with this package had not been released, prompting DPS to submit this proposal as a top priority. However, the bond package containing the funding for this project was recently released, and the project is expected to continue.

Commercial enforcement staff. Pursuant to state law, DPS, in conjunction with the Department of Motor Vehicles, is responsible for conducting commercial vehicle inspections with specific staffing levels for enforcement activity. DPS has approximately 20 full-time troopers and nine weight and safety inspectors dedicated to commercial enforcement duties and responsible for meeting the statutory obligations of P.A. 98-248. There are an additional 50 troopers statewide conducting commercial enforcement duties as part of their patrol duties. According to DPS, general violations are found in approximately a third of truck inspections.

The squads are trained to inspect hazardous material vehicles and are equipped with personal radiation pagers and sophisticated radiological equipment that can detect the presence of nuclear material. During heightened security alerts, these squads may be required to work a continuous rotation. The DPS proposal would add eight troopers specifically assigned to commercial vehicle inspection. According to DPS, this proposal would allow motor carrier safety assistance inspections to be conducted on a full-time, everyday basis as opposed to the manner in which current staffing levels permit. *Deployments of additional commercial enforcement personnel would permit inspections to occur statewide with emphasis on secondary roadways and would be separate and distinct from continuing weigh station operations.*

DPS believes that an enhancement of the squad could provide a greater measure of protection against the transportation of radiological and/or unauthorized explosive materials through the state as well as increase criminal enforcement and general public safety. DPS anticipates the fiscal impact associated with the hiring of eight troopers would be approximately $1.2 million. This proposal would exceed the DPS authorized statutory staffing level of 1,248.

APPENDICES

Appendix A
Agency Response

STATE OF CONNECTICUT
DEPARTMENT OF EMERGENCY MANAGEMENT AND HOMELAND SECURITY

James M. Thomas
Commissioner

January 25, 2008

Mr. Carrie E. Vibert
Director
Legislative Program Review and Investigations Committee
State Capitol – Rm. 506
Hartford, CT 06106

Dear Director Vibert:

Thank you for sharing the copy of the Legislative Program Review and Investigations Committee's final report entitled, "*Homeland Security in Connecticut.*"

We have shared this report with our management team and are enclosing a formal agency response to be included with the final published report.

Again, we want to thank you for the opportunity to respond to this report and look forward to working with you to enhance the safety and security within the State of Connecticut. Should you have any questions regarding our response, please contact Mr. Scott DeVico, our Legislative Liaison directly at 860-256-0813.

Sincerely,

James M. Thomas
Commissioner

JMT/dja
Enclosure
cc: Mr. Scott DeVico, DEMHS Legislative Liaison

Response to the Program Review and Investigations Committee Staff Findings and Recommendations on Homeland Security Dated December 18, 2007

Section I. Committee Staff Recommendations

1. **DEMHS needs to clearly document the critical infrastructure eligibility guidelines and provide that information to each municipality.**

   Agency Response

   The U.S. Department of Homeland Security (DHS) released its guidelines for critical infrastructure eligibility in 2006. As part of the 2007 DHS Risk Analysis, the DEMHS Critical Infrastructure Protection Unit (CIPU) provided local municipalities with instructions on where and how to access the DHS guidelines in order to compile and/or update their list of critical infrastructure assets. The DHS guidelines are available to municipalities through use of the Homeland Security Information Network (HSIN), which is supported by the CT Intelligence Center (CTIC).

2. **DEMHS should encourage greater participation by municipalities in the infrastructure program by reinforcing with municipal leaders the importance of the program and the impact it has on the funding of regional priorities. In addition, DEMHS should investigate the feasibility of providing an electronic means for municipalities to access and update infrastructure information through a secure internet portal.**

   Agency Response

   In the past, DHS did not release the specific criteria identifying critical infrastructure / key asset sites. Once those guidelines were released, DHS did provide municipalities with instructions on where and how to access the guidelines in order to compile and / or update their list of critical infrastructure assets. Access was gained through the use of the CT Intelligence Center's Secure Website, Homeland Security Information Network (HSIN). The information obtained from municipalities was used for the 2007 Risk Analysis.

   The Critical Infrastructure Protection Unit is working with the five DEMHS Regional Coordinators to provide training and education for local government officials on the Critical Infrastructure Program, emphasizing its significant impact on state and national homeland security, and its relationship to the funding of regional priorities.

   Through the use of the CTIC secure web site --HSIN-- municipalities have the ability to submit critical infrastructure and key resource information electronically to the DEMHS Critical Infrastructure Protection Unit. DEMHS is in the process of making the transition to a secure portal using DHS-developed software, (the Automated Critical Asset Management System, or ACAMS), which will give users greater flexibility in identifying critical assets. In addition, DEMHS, as part of its

$2 million Geospatial Information System (GIS) initiative, is developing a secure portal where municipalities can view, update, and categorize their critical infrastructure and assets. That information will then be available in a map format to DEMHS, other state agencies, the Governor, and municipalities in times of an emergency, disaster, or catastrophic event.

3. **DEMHS should investigate the use of other validated infrastructure assessment tools to better accommodate the categorizing, analyzing, and reporting needs of the department.**

   Agency Response

   As stated above, DEMHS is in the process of making the transition to a secure portal using DHS-developed software, (the Automated Critical Asset Management System, or ACAMS), which will give users greater flexibility in identifying critical assets.

   It should be noted that the Critical Infrastructure Protection Unit has been and continues to utilize the CARVER2 assessment program to categorize and analyze the state's critical infrastructure. The CARVER2 program has been widely used by states across the country.

4. **To improve Connecticut's infrastructure protection efforts and to better understand any barriers to reducing vulnerabilities in certain business sectors, DEMHS should:**

   a. **Develop a specific implementation plan that outlines DEMHS intentions, goals, and responsibilities in assessing and mitigating vulnerabilities as well as in tracking the status of public and private sector security efforts at Connecticut's most critical infrastructure sites;**

      Agency Response

      There are no regulations in place that mandate private sector critical infrastructure/key resource owners and operators to follow or implement security assessment recommendations. Additional funding and staff would allow the CIP Unit to monitor the status of public and private sector security efforts at more of the state's critical infrastructure sites. Currently, DEMHS is focusing on assessing the top one hundred critical infrastructure sites in Connecticut.

   b. **Track core activity measures, such as, but not limited to, the number of assets, systems, and networks by sector, and the number of completed vulnerability assessments;**

Agency Response

The DEMHS CIP Unit has compiled, with the aid of its municipal partners, a list of the state's critical infrastructure/key resource assets. The CIP Unit currently uses the CARVER2 assessment tool to compile the list, and, as described above, intends to use the ACAMS assessment tool in the near future. The CIP Unit also maintains a list of assessments completed to date which includes a portion of the current top 100 sites within Connecticut.

c. **Develop a system to capture information about the usefulness of facility assessments performed by the department and the extent to which mitigating recommendations have been implemented by both public and private facility owners, including improvements made through grants awarded to ferry, port and transit operators in the state; other measures to consider include percentage of high-risk assets that have developed protective strategies, percentage that have implemented mitigation strategies, and percentage that have continuity of operations plans.**

Agency Response

Although grant funding for critical infrastructure initiatives is available, the guidelines for allowable costs are quite narrow. Most federal grants are geared towards first responders and/or the primary governmental jurisdiction where the sites are located. Private sector critical infrastructure/key resource owners and operators (representing approximately 80% of infrastructure nationwide) can apply for a number of federal and/or private grants, but they are generally not required to notify, or seek input or approval from, the state. Very few federal grants allow for improvements to be made at a specific privately owned site.

d. **Report results of b and c in an aggregated and non-identifiable format in DEMHS' annual report; and,**
e. **Convene a task force composed of coordinating council members, public safety officials, private sector facility owners, and other appropriate stakeholders to investigate the need for the regulation of security improvements or the development of incentives for certain critical infrastructure facilities, such as those that handle extraordinarily hazardous substances, transportation facilities, or other critical infrastructure.**

Agency Response

Currently, DEMHS is an active member of InfraGard Connecticut. The Connecticut Chapter currently has 756 members representing 483 organizations in the state and is primarily focused on increasing communication among Connecticut-based organizations, the FBI, and DEMHS, regarding physical and computer infrastructure security issues and news. The mission of InfraGard Connecticut is to "prepare society to prevent and respond to the exploitation of security vulnerabilities through

confidential exchange of information among members and education of infrastructure stakeholders."

On January 17, 2008, DEMHS will be convening a new group of private sector emergency planners who represent large employers and businesses in the state. These employers and businesses are among those which are most likely to help the state recover from a natural or human-made disaster. This meeting will further the conversation on how government and the private sector can work together to better position the state to recover from a disaster.

In addition, DEMHS maintains a regular presence at a variety of private sector conferences and meetings, including Maritime Security meetings, and CTWARN, a group which includes representatives of every water authority in the state. DEMHS also works with the CT Police Chiefs Association to promote the "Operation Safeguard" program, in which over 75 local police officers were trained to visit selected businesses in their communities to foster greater awareness of homeland security activities and issues.

5. **In conjunction with the risk-based funding methodology, DEMHS should consider adjusting the regional funding formula to include a factor or factors that take(s) into account the preparedness needs of each region as initial regional organizational objectives are met. In developing the information about preparedness needs, DEMHS should conduct a comprehensive all-hazard risk and vulnerability assessment of large scale disasters and catastrophes that can plausibly be expected to occur in Connecticut to assist in identifying the individual needs of regions.**

Agency Response

DEMHS has been supporting regional funding since the agency was created in 2005 largely through investments in regional services (e.g HazMat teams) and subgrants to regional planning organizations working on behalf of their member towns. A financial incentive was provided with federal 2006 funds to encourage this approach among municipalities. In November 2007, DEMHS implemented regional funding statewide with federal 2007 funds; no individual municipal grants were issued. It is expected that this formula will evolve over time in order to be responsive to changing preparedness needs across the state. Connecticut is most vulnerable to natural disasters such as hurricanes, floods, tornados, winter storms and droughts. The State is also at risk for human-made disaster largely due to its proximity to New York City. The State Natural Disaster and Consequence Management Plans articulate state level responses to these events. Each DEMHS region will craft a Regional Emergency Operations Plan to expand mutual aid and address identified needs. A comprehensive, statewide all-hazard risk and vulnerability assessment would integrate information from all of these plans and could potentially become a factor in the regional funding formula

6. **Similar to the recommendation above, DEMHS should develop a system to capture information about the usefulness of the buffer zone protection program assessments performed by the department and the extent to which mitigating recommendations have been implemented and report the results in an aggregated format in DEMHS' annual report.**

Agency Response

The Buffer Zone Protection Plan (BZPP) is managed by the federal DHS and is classified by DHS at the "Secret" and/or "Law Enforcement Only" level. Federal law defines the circumstances under which the information can be released: states cannot determine when to release this information. The BZPP identifies the current site security stance from the perimeter of the asset outwards, not within the facility itself. The recommendations that are reported to DHS are predominantly for equipment needs only. As mentioned earlier, this is primarily due to the narrow guidelines on allowable expenditures under the grant program

Section III: Connecticut Intelligence Center (CTIC)

7. **To formalize appointments and ensure continued cooperation, the appointment of ILOs and RILOs shall be codified into statute. Furthermore, the number of ILO appointments should be relative to the size or population of the community.**

Agency Response

The decision-making process for determining which entities should be represented on the CTIC Team was done collaboratively with local, state and federal partners. Prior to the creation of the CTIC, various levels of law enforcement would often work in isolation from one another, resulting in a substantial amount of duplicated effort. At the current time, DEMHS believes that codifying the various positions into statute is premature as needs may change over time, and further discussions among the local, state and federal partners should take place.

8. **Formal clarification regarding the reporting structure for the state liaison intelligence coordinator position is needed.**

Agency Response

Currently the state liaison intelligence coordinator position is a state police sergeant, assigned to the State Police Criminal Intelligence Unit deployed to the CTIC. He reports to the State Police Department's Supervisor for Bureau of Criminal Investigations.

Under Connecticut General Statutes Section 28-1a(c)(2) and (3), the Commissioner of DEMHS is responsible for coordinating homeland security communications, and for distributing, and, as may be appropriate, coordinating the distribution of information and security warnings to state and local government personnel, authorities, and the general public. Therefore, the position of state liaison intelligence coordinator should report to the Commissioner of DEMHS.

9. **DEMHS shall further expand its private sector outreach efforts particularly to small businesses and security personnel of major critical infrastructures.**

Agency Response

DEMHS has been very active in its outreach to the private sector, not only through InfraGard but also through a partnership with the Connecticut Police Chief's Association (CPCA), and the Connecticut Police Officer and Standards Council (POSTC). DEMHS has provided training to members of the private sector on a regular basis, and continues to do so. The Commissioner of DEMHS has been very active with the Connecticut Development Authority in its mission of working with the small businesses in the State of Connecticut. Several presentations have been made to the Executive Board, to the Authority's entire membership, as well as to CT Business and Industry Association meetings. In addition, DEMHS is a strong supporter of the IT Security Program for small businesses. However, DEMHS recognizes that there is always a need to expand upon and enhance this important partnership. To that end, in January of 2008, DEMHS will host a meeting of private sector emergency planners (see response to item 4 (d) and (e). This will further the dialogue between the State and the private sector.

Also, DEMHS is working with FEMA Region 1 to reach out to the New England private sector community in order to increase the region's preparedness and ability to recover from disaster.

DEMHS believes that the effort to maintain and strengthen its relationship with the private sector will always be a critical part of the agency's mission.

10. **Basic statistical information regarding the Tips Hotline should be generated (i.e. the number of calls received and the outcome of the calls) and provided to the members of the CTIC policy board on a periodic basis. In addition, the annual number of hotline calls received should be reported on the DEMHS website and its other various public relations materials.**

Agency Response

The CTIC Policy Board has previously addressed this issue. Statistics on the number of calls and the results of the calls are being kept by the CTIC Staff and reports are provided to the CTIC Policy Board membership at their regular meetings. The Policy Board has also requested that local law enforcement agencies add the TIPS Hotline to their websites (it currently appears on the DEMHS and Department of Public Safety web sites.)

11. **Whenever feasible and appropriate, CTIC personnel should have more involvement in the joint tabletop, functional, and full-scale homeland security exercises throughout the state. Furthermore, as an administrative matter, CTIC should track the participation rate and training level of all of its personnel particularly for CTIC sponsored events.**

Agency Response

CTIC personnel can and do provide significant services in many law enforcement related events, including table top exercises that contain a role for CTIC staff. For example, DEMHS has designated a seat for CTIC at the State's Emergency Operations Center at the Hartford Armory, to be filled as required in a particular incident. However, to include CTIC staff in every DEMHS exercise could take them away from their critical day to day operations.

12. **CTIC policy board establish a mechanism for ongoing monitoring of the center's operations, procedures, and policies to ensure that all information and intelligence needs of the shareholders are being met. The evaluation mechanism should also provide CTIC product users feedback opportunities.**

Agency Response

The CTIC Policy Board, in conjunction with the supervisors at CTIC, have a created such a tool, which is a customer satisfaction questionnaire provided to those who request and receive information from CTIC. The CTIC operation in Connecticut is still evolving. It is clearly in the best interests of the entire public safety community to fine tune the information so that the shareholders' needs are being met.

13. **Connecticut should have a continued presence on the JTTF with additional assignments when staff resources are available.**

Agency Response

DEMHS agrees that Connecticut should have additional personnel on the Joint Terrorism Task Force when staff resources are available.

Section IV: Communications

- **A final state communications interoperability plan (SCIP) was submitted in December 2007 for peer review and federal approval.**
- **Based on the information collected to date by the various communications working groups, Connecticut currently does not have a complete interoperable system.**
- **The existing communications and interoperability environment among Connecticut localities varies widely.**
- **Once the statewide communications inventory is complete, the state interoperability plan's general approach is to phase out and replace existing and older technology and equipment with newer technology.**
- **One immediate recommendation of the plan is to hire a full-time interoperability coordinator.**
- **Standard operating procedures for communications are not consistent throughout the state.**

- **To date, only DEMHS Region 1 has completed a Tactical Interoperable Communications plan.**
- **The state must establish a strategic technology reserve of deployable communications equipment in the event of an emergency or major disaster.**
- **The state is expected to receive approximately $13 million in federal funds to implement SCIP. The three key investments will be:**
  - **To connect PSAPs, communications systems, and identified public safety facilities (e.g., fire, law enforcement, EMS, and local public health facilities) on a proprietary resilient network with fiber optic redundancy.**
  - **To improve mobile field equipment, training, and coordination.**
  - **For to DEMHS determine gaps in regional communications systems and prioritize needs.**
- **The implementation of Reverse 911 at the local level is expected to enhance communication abilities. This method of mass notification while not perfect does provide a valuable tool for emergency management.**
- **The function of a public information officer is an important component for DEMHS and should be an ongoing responsibility for a permanent position.**

Recommendations:

14. **A mass notification system, such as Reverse 911, should be a required homeland security fund purchase for municipalities. DEMHS should work with OSET to ensure the cost to towns for databases is minimal. DEMHS, along with DOIT, should have a role in managing the mass notification system contract and tracking who has acquired it.**

    Agency Response

    DEMHS agrees with the recommendation that every community should have an emergency notification system in place. Current estimates are that mass emergency notification systems are in place in over 50% of the state's communities, covering over 60% of the state's residents. Working together, DEMHS, the Governor and the Legislature can promote the use of emergency notifications systems across the state.

15. **A DEMHS public information officer position should be authorized and filled. Public service announcements and campaigns should be developed and revamped when necessary.**

    Agency Response

    Over the last three years, DEMHS has spent a great deal of time and resources to motivate the public to become "storm ready". A survey conducted in 2007 by DEMHS showed that although 70% of the public thought they would be affected by some natural or human-made disaster, only 40% of these individuals stated that they were prepared for such a disaster. A full time public information officer could help elevate the DEMHS message to "be prepared" through the implementation of ongoing and future public education and awareness initiatives.

Section V: Other Issues and Top Concerns

- **Some DEMHS goals tend to be short-term and/or do not convey a vision of where department wants to be in the future.**
- **DEMHS objectives do not always have an expected date of accomplishment and do not usually have associated performance measures.**
- **DEMHS does not systematically track and report progress made on goals and objectives.**
- **Various federal and state documents contain an assortment of goals for DEMHS. The department does not provide a unified reporting system so that stakeholders, policy makers, or the general public can know the status of the goals.**
- **A memorandum of understanding between DEMHS and the Department of Public Safety has not been executed as required under law.**
- **DEMHS does not notify the legislature or seek additional state funding when federal grant funding is denied or reduced.**
- **The state does not have an alternative site for the EOC.**
- **Since 2001, the local emergency relief account has had little to no funding available.**
- **Further stockpiling efforts for items such as medical supplies and personal protection devices such as masks are needed and must be maintained on an ongoing basis.**
- **Space limitations at DEMHS regional offices exist, considering the recent and anticipated expansion of DEMHS regional staff.**
- **DPS currently operates a mass transit squad on a limited basis.**
- **Deployments of additional commercial enforcement personnel would permit inspections to occur statewide with emphasis on secondary roadways and would be separate and distinct from continuing weigh station operations.**

Recommendations:

16. **DEMHS should, when revising its state homeland security strategies and internal strategies, ensure that the goal statements provide a clear picture of what the department is trying to achieve and make certain all objectives have dates of accomplishment and meaningful performance measures. In addition, on at least an annual basis, DEMHS needs to develop a unified goals document that communicates the status of its goals and the results of its performance to the Emergency Management Homeland Security Coordinating Council and the legislature.**

Agency Response

As part of its statutory mission to provide a comprehensive, statewide emergency management and homeland security program, DEMHS pursues both statewide and agency-specific goals and objectives. DEMHS agency-specific goals are contained in the *DEMHS Strategic Plan*, which was revised in July of 2007 (see Appendix A.) The statewide goals are contained in the *State of Connecticut Homeland Security Strategy Goals* which was last updated in March of 2007 (see Appendix B.) These

documents contain both long-term and short-term goals and objectives as might be expected. While most of the goals and objectives have target completion dates, some do not and those are primarily for activities that are on-going. DEMHS staff regularly report progress toward completion of goals at the Emergency Management and Homeland Security Coordinating Council.

The attached "Crosswalk of National Priorities, State Strategy Goals and DEMHS Strategic Goals" is provided to illustrate the context of DEMHS' work (see Appendix C.)

17. The Department of Emergency Management and Homeland Security with the cooperation of DPS shall implement the provisions of C.G.S. Section 28-1a (e) relating to the creation of interagency memorandums of understanding.

Agency Response

Connecticut General Statutes §28-1a(e) states in part that the Commissioner of DEMHS "shall, in consultation with the bargaining unit representing the state police, enter into an interagency memorandum of understanding with the Department of Public Safety . . . to provide for (1) the temporary assignment and retrenchment rights of state police . . . to work in the department . . ." and "(2) interagency information sharing..."

DEMHS and DPS, in collaboration with other local, state and federal partners, have entered into a Memorandum of Understanding (MOU) for the creation and operation of the Connecticut Intelligence Center (CTIC), a multi-agency operation that serves to collect, analyze and disseminate both criminal and terrorism-related intelligence to all law enforcement agencies in the State of Connecticut. This MOU satisfies the statutory requirement of §28-1a(e)(2), above, that DEMHS and USAR enter into a memorandum of understanding regarding "interagency information sharing."

With regard to §28-1a(e)(1), DEMHS and DPS have entered into a Memorandum of Understanding regarding the participation of certain DPS employees in the Connecticut Urban Search and Rescue Team, which is organized under the auspices of DEMHS. See Conn. Gen. Stat. §28-1(5). With regard to the assignment of other DPS employees to perform work for DEMHS, those assignments have been handled to date under an interagency transfer invoice: DEMHS is continuing to work with DPS to memorialize this arrangement in an MOU.

18. DEMHS shall notify the appropriations committee and the appropriate committees of cognizance in a timely manner of the status of federal grant funding when grant awards are less than what the department had applied for.

Agency Response

DEMHS relies on the established state budget process to request funding for its priority programs and services. Federal grant funds support the majority of DEMHS' work. Fluctuating federal funding levels cannot be fully anticipated. To

protect the State's interests, federal grant requests include those projects deemed essential and those that if deferred would not pose an immediate problem. By requesting a range of federally-funded programs and soliciting maximum state funding, Connecticut is able to weather variable federal funding.

19. **DEMHS, through a sub-committee of the coordinating council, should develop a plan to address the need for an alternative EOC no later than January 2009. In particular, the plan should outline all necessary EOC specifications and requirements and whether the alternatives currently being considered (e.g. mobile command center, Rentschler, Southbury) are viable and reasonable options. Once site requirements are determined, DEMHS, in conjunction with DPW, should identify potential alternative methods and/or locations available for the EOC.**

Agency Response

DEMHS continues to explore options for an alternate Emergency Operations Center. A recent Department of Public works report on potential uses for the Connecticut Juvenile Training School recommended that the facility be the permanent new home for DEMHS, including a new Emergency Operations Center.

In the meantime, DEMHS has moved forward to acquire equipment to set up a mobile emergency operations center at virtually any building in any region of the state. In addition, DEMHS has recently entered into an agreement with the Department of Developmental Services (formerly DMR) for use of a 13,000 square foot building located on the grounds of Southbury Training School. DEMHS is currently in the process of making certain upgrades to the building. In the future, DEMHS anticipates that this facility may serve multiple purposes.

Appendix B

EMERGENCY MANAGEMENT FUNCTION

As noted in Chapter I, the majority of emergency management functions are organized within the DEMHS Division of Emergency Management. Figure 1 outlines the division's organizational chart. As the chart shows, the division consists of three units – Operations; All-Hazards Planning; and Radiological Emergency Preparedness. Each unit has its own supervisor and staff, but all are overseen by the division director. All three units are located in the State Armory with operational staff in five regional offices.48 The following is a description of the roles and responsibilities of each unit.

Operations

The Operations unit is directly responsible for the five regional offices that serve as the direct link to local jurisdictions. Each region is staffed by a coordinator and secretary. Two regional offices also have a planner. Additional staffing for the regional offices is pending approval from the Department of Administrative Services.

Regional coordinators. A regional coordinator's primary responsibility is to provide assistance and guidance to the local emergency managers within their region. The coordinators link the locals with the contacts and resources needed during all phases of an emergency.

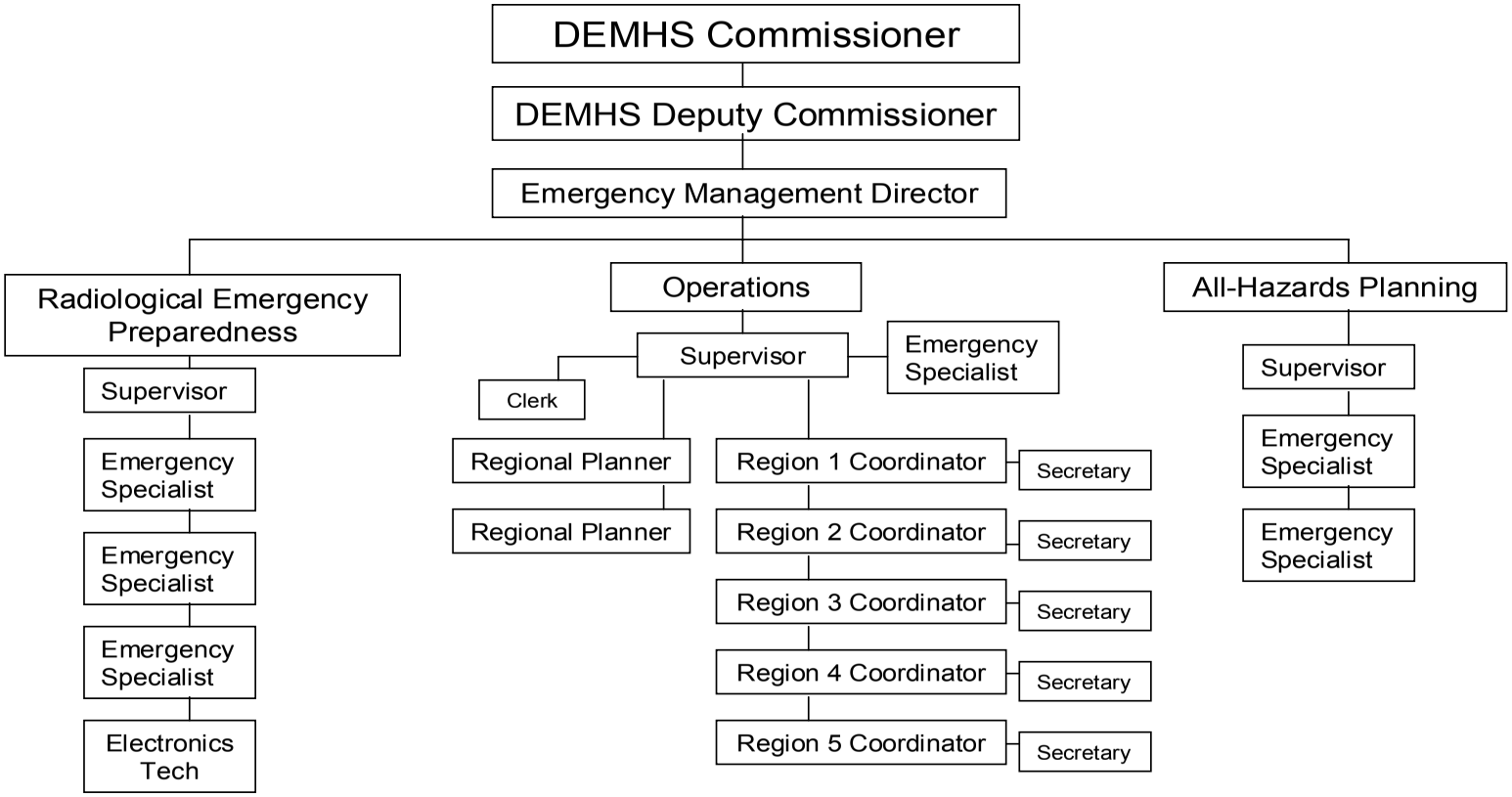
During emergencies, a coordinator's specific duties are to activate the regional office as a regional response coordination center, manage requests for assistance, facilitate mutual response support within the region, and act as a liaison for information between the state Emergency Operations Center and local officials.

The coordinators are also responsible for:

- establishing an ongoing working relationship with local officials;
- ensuring local emergency operations plans are reviewed and updated;
- keeping current local emergency operation plans on-site;
- encouraging local participation in a regional emergency planning team;
- providing input to regional plans that support mutual aid and regional response to emergencies such as regional evacuation plans;
- participating in the development of a tactical interoperable communications plan; and

48 All-Hazards will be moving into DEMHS headquarters as part of Strategic Planning and Grants Administration.

Figure 1. DEMHS Division of Emergency Management



As of May 7, 2007

- supporting regional training and exercises in conjunction with the DEMHS training division.

Emergency Operations Center. The Emergency Operations Center coordinates the state's response to a disaster or emergency by fielding requests for services and securing any needed resources. DEMHS provides and manages staff for the state EOC, which acts as the hub of state operations when emergencies and disasters strike or threaten Connecticut. The EOC has seating, communications equipment, a computer network, and a visual display system for state agencies, public utilities, and charitable organizations to work together to resolve emergencies.

When activated, the EOC is continuously staffed 24 hours a day to respond to assistance requests from all municipalities and two tribal nations. Requests for assistance can range from cots, sandbags, and generators to plows, trucks, or bulldozers for debris removal or even aircraft to be used in rescue missions. If necessary, representatives from other state and federal agencies and volunteer organizations augment the state EOC to ensure that needed resources are provided to disaster-stricken areas. On a non-emergency day-to-day basis, DEMHS staff is also available 24-hours a day, seven days a week.

The EOC is also responsible for the development and maintenance of the overall communications and warning systems to facilitate primary and backup communications from the EOC to local jurisdictions, regional offices, and other state agency headquarters during state emergency operations. When activated, the division staff manages the operations and communication room, which serves as a centralized clearing house for all situation reports and requests for assistance to and from the EOC.

The state EOC operates as a warning communications point. As such, it also:

- transmits national weather service warning and watches to localities;
- monitors the flood observing and warning system; and
- links to the federal government for emergency alerts.

At the moment, the state does not have an operational EOC backup. DEMHS is pursuing the possibility of a permanent alternate EOC in the greater Hartford area.

All-Hazards Planning

Connecticut has an all-hazards approach to emergency planning, which means it covers both natural and man-made disasters. As such, the state has multiple plans to cover different types of disasters. The All-Hazards unit staff maintains the updates and revisions to the various state plans and assists in the development of new sections that are needed or required in the plans.

Among the plans developed by or with the assistance of the All-Hazards unit are:

- The *Natural Disaster Plan,* which assigns emergency management tasks and responsibilities to state agencies and affiliate organizations for natural events; and

- The *Consequence Management Plan for Deliberately Caused Incidents Involving Chemical Agents,* which provides emergency operations procedures for man-made incidents. According to DEMHS, the governor approved both plans in 2006.

DEMHS, in conjunction with the Departments of Public Safety and Transportation, has also developed regional evacuation and shelter guides. The guides include evacuation routes, shelter locations, local hazard assessments, and cover the sheltering needs of persons with disabilities and the elderly. DEMHS is working with the State Animal Rescue Team to plan for evacuation and safe sheltering of pets. DEMHS has also prepared the *Mass Decontamination Mobilization Plan,* which provides information on available decontamination resources within the state.

In addition to the DEMHS plans, several other federal and state authorities require state-level plans to address specific hazards. As such, some state agencies prepare their own plans. A sample of some of these plans is provided in Table 1.

Table 1. Sample of Other Agency Emergency Operation Plans

Agency	Plan(s)
Department of Environmental Protection	Hazard Mitigation Plan; Debris Management Plan; Flood Emergency Operations
Department of Public Health	Pandemic Influenza Response Plan; Statewide Ambulance Deployment Plan; DPH Emergency Operations Plan (EOP); Hospital Plans
Department of Public Works	DPW EOP Plan
Commission on Fire Prevention and Control	Statewide Fire Service Deployment Plan
Department of Agriculture	Avian Influenza Response Plan

Source: State of Connecticut website

Regional teams. As noted previously, the state is divided into five DEMHS regions and is now in the process of organizing regional emergency planning teams to develop regional emergency response plans. The REPTs guide the overall regional plan development, ensuring that plans are locally driven and supported. The DEMHS regional offices are leading these efforts together with many local agencies and the Regional Planning Organizations in their area. It is anticipated that all of these plans will comply with the federal National Incident Management System and be supportive of both the state and national strategies.

The REPTs may designate any emergency support functions (ESF) groups as needed. ESF groups are discipline oriented and categorize resources and personnel according to specific subject matter issues and activities such as Transportation, Mass Care and Sheltering, and Health and Medical Services.

Modeled on the federal National Response Plan, each regional emergency operations plan explains how multi-jurisdictional emergency events will be coordinated. The hope is to enhance local capabilities during incidents with less reliance on state intervention. The planning efforts will provide regional resource-typing (based on NIMS) and inventories that are critical during emergencies.

DEMHS Radiological Emergency Preparedness (REP)

The Radiological Emergency Preparedness division is the lead state entity for off-site emergency plan development and exercise for the Millstone Power Station – Connecticut's only nuclear power plant, which is located in Waterford. REP staff works closely with the Department of Environmental Protection, which is the lead technical state agency of on-site oversight.

REP staff assists in the development of plans and procedures, provides training, and coordinates exercises with federal, state, and local governments as well as private entities. These activities ensure that emergency workers are prepared to protect residents in the event of a nuclear incident.

The radiological emergency response plan involves an extensive network of state and local plans and procedures. All plans are exercised on an annual basis and federally evaluated biennially to validate the plans and ensure federal requirements are completed. Emergency plans for schools, nursing homes, and daycare within the 10-mile radius of the plant zone[49] are also federally reviewed to ensure that they have emergency plans in place.

Several parties participate in the exercises, which may involve the federal Department of Homeland Security, the Nuclear Regulatory Commission (NRC), state DEMHS, local governments, and Dominion, Incorporated, which owns and operates Millstone. DEMHS also conducts tests on the years that the federal government does not evaluate.

DEMHS and Dominion conduct several functional training classes based on state and federally required emergency response planning and exercises. Successful completion of these exercises is required for continued federal licensing of the Millstone Power Station by NRC.

Connecticut also has long-standing agreements with the surrounding states of New York, Rhode Island, and Massachusetts, that ensure timely notification and mutual support in the event that an emergency should occur. Staff from each state participate in the drill and exercises for their mutual benefit.

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49 The communities located within approximately 10 miles of Millstone are referred to as the emergency planning zone and include: East Lyme, Groton, Ledyard, Lyme, Montville, New London, Old Lyme, Waterford, and Fisher's Island, NY.

Training Unit

The DEMHS Training unit is responsible for providing a comprehensive emergency management training program to local emergency management personnel statewide. The four-person unit supports various agency sponsored training and coordinates registration for a number of courses conducted by the FEMA Emergency Management Institute (EMI). The training unit is the point of contact for all federal training programs in- and out-of-state.

Among the groups eligible for training are first responders, local emergency management directors, state agency personnel, volunteers, chief elected officials, civic organizations/groups and others involved with emergency management and private industry. There are various types of federal training from workshops, professional development courses, and emergency management skill building courses. Training opportunities are posted on a training calendar on the DEMHS website.

Drills and exercises. The Training unit also assists other state agencies, regional groups, and local communities conduct drills and exercises. Drills and exercises provide the most direct means of assessing emergency plans and procedures, and demonstrate the preparedness of responders. A *drill* is a training activity designed to develop, test, and maintain skills in a particular operation or component of an emergency response plan. An *exercise* tests the integrated capability and basic elements of an emergency response plan.

An exercise program can be tabletop, functional, or full-scale applying techniques or knowledge obtained through training or education in a controlled pre-planned manner. A tabletop exercise provides an opportunity for officials and staff to engage in constructive discussion on various simulated emergency situations under minimum stress. A functional exercise examines the capability of individual or multiple activities within a function, usually under limited time constraints and finishing with some critique. A full-scale exercise demonstrates the jurisdictions' full proficiency in implementing an emergency operations plan to respond to a hazard in a highly stressful environment. Each exercise is followed with an after action report prepared by evaluators, which may include state or federal agencies or even the participants themselves. The after action report documents the success in meeting the exercise goals and notes areas where improvements can be made.

According to DEMHS, the agency has conducted or participated in a mix of approximately 50 local, regional, and statewide exercises since August 2006. DEMHS also participated in one major national exercise known as TOPOFF III in April 2005.

Statewide NIMS Implementation. One major federal initiative is the implementation of the National Incident Management System. In FFY 2006, the federal DHS required states to become NIMS compliant. Governor Rell issued Executive Order Number Ten making NIMS the state's standard system for the management of domestic incidents that affect the health, welfare, safety, and security of Connecticut residents. NIMS is meant to improve response operations through the use of the incident command system (ICS) and other standard procedures and preparedness measures.

DEMHS, together with a sub-committee of the coordinating council, has prepared a NIMS implementation plan that ensures that NIMS is incorporated into the state's plans, procedures, policies, and training programs. According to DEMHS, NIMS training continues to be provided to

all emergency responders. Both the fire and police academies provide NIMS training to new hires as well as offer NIMS training to existing personnel. NIMS training has also been offered to all municipal CEOs. According to DEMHS, approximately 75 percent of CEOs are NIMS compliant. The DEMHS regional coordinators are also reviewing local emergency response plans for NIMS compliance. Furthermore, NIMS compliance is required of any state agency that receives federal DHS funding. These would include the Departments of Public Safety, Corrections, Environmental Protection, Public Health, and Transportation.

Citizen Corps Program. The Training unit is also involved with the Citizen Corps program component known as Community Emergency Response Teams. The Citizen Corps coordinates volunteer opportunities for citizens wanting to help their communities prepare for and respond to emergencies. The Citizen Corps program is tailored to each locality and managed by a local citizen corps council made up of various representatives of first responder disciplines, local elected officials, volunteer organizations, private sector, and other community stakeholders.

DEMHS administers the federal Citizen Corps funding from FEMA and the Department of Homeland Security. The DEMHS coordinating council has established a Citizen Corps subcommittee, which has developed standard operating procedures for the approval and authorization of activations of Connecticut's many local CERTs.50 To date, over 2,300 local volunteers have been trained in community emergency response.

Communications

Communications is generally recognized as the backbone of the emergency response system. It is needed to convey reliable, timely information in order to evaluate an incident and then commit resources to respond and handle the situation.

The DEMHS regional offices have a full range of radio, fax, and telephone capabilities, providing communications with local jurisdictions and the state EOC. These include:

- the DEMHS 153 MHz (hi-band) radio network as the primary interoperability channel for town to state communications;
- the low-band (30-50 MHz) radio network linking the state EOC with the five regional offices;
- amateur radio frequencies on 2-meter packet radios and 75-meter radios; and
- satellite radio network linking the state EOC with regional offices and DEMHS vehicles.

I-TAC/I-CALL. In 2002, former Governor Rowland directed the Office of Policy and Management to convene a communications interoperability working group to address the needs of

50 This approval was deemed necessary in a formal opinion letter by state Attorney General in order to provide certain liability and compensatory benefits to CERT volunteers.

the first responder community. At that time, the group determined that the fastest, least expensive course to obtain interoperability at the command and control level would be to expand an existing part of the Department of Public Safety's communication infrastructure known as I-TAC/I-CALL.

With an existing infrastructure, Connecticut simply had to purchase radios, instruct the potential users of the system, and distribute the radios to those people. The equipment was purchased with federal grants and distributed to local entities. However, the state holds the license for use of the I-TAC/I-CALL frequencies.

To date, all fire chiefs, municipal police chiefs, leaders of EMS units, and local emergency management directors have received the training and the 800 MHz radios with the I-TAC/I-CALL frequencies. Each public safety answering points (PSAPs) have received an 800 MHz control station with the same frequencies. Additionally, the municipalities that are within the Millstone Emergency Planning Zone or serve as a host community for a Millstone event received control stations and training.

DEMHS encourages municipalities to activate and use the I-TAC/I-CALL system during a response to any incident involving multiple jurisdictions or different functional elements. DEMHS intends to routinely conduct training on the proper use of the radio equipment and the activation of the I-TAC/I-CALL system.

STOCS. Generally, the agencies and entities involved in responding to emergencies (e.g., fire, law enforcement, and emergency medical services) operate two-way radio systems using a variety of frequency bands. The Statewide Tactical On-Scene Communication System (STOCS) allows these various responders to use their existing portable radio equipment to communicate at an incident regardless of their frequency band. STOCS establishes an interoperable radio system by providing shared channels across very high frequency (VHF), ultra high frequency (UHF), and 800 MHz bands.

For STOCS to work, each department or agency has to program STOCS channels into their existing portable radios and have at least one cross band repeater unit. Statewide implementation of STOCS is now underway. The current plan is to purchase 100 units at an estimated cost of about $7,000. The distribution to specific locations is yet to be determined.

Connecticut Statewide Police Emergency Radio Network (C-SPERN). Another interoperability project is the Connecticut Statewide Police Emergency Radio Network (C-SPERN). Conceived by the members of the Connecticut Chiefs of Police Association, this joint project between DPS and DEMHS proposes a one-channel analog simulcast system for statewide mobile radio communications for law enforcement agencies. The system's primary design is to use one channel of DPS's 800 MHz radio system at 39 sites throughout the state.

Tactical Interoperable Communications Plan (TICP). The federal Department of Homeland Security has required states to develop a tactical interoperable communications plan designed to enhance interoperable communications among federal, state, and local emergency responders and public safety officials. The first plan was prepared for Region 1 by the state's interoperability committee along with DEMHS staff. The Region 1 plan was tested in an exercise in December 2006. According to the tactical interoperable communications scorecard submitted by the

federal government, the Region 1 exercise fared well. Additional TIC plans for the remaining DEMHS regions are expected in the near future.

DEMHS acknowledges that although much progress has occurred in interoperable communications much more work remains to be done. The work continues through a sub-committee of the coordinating council that will make recommendations to the whole council as well as DEMHS on sharing real-time voice, data, and video information with authorized first responders and other essential parts of the emergency management and public safety community.

Public communications. Another important DEMHS function is providing timely information to the general public to prepare for, respond to, and recover from emergencies. Currently, the department does not employ a public information officer. The deputy commissioner is now responsible for those duties. DEMHS public communications consists of public service announcements, news releases and briefs, media interviews, an electronic newsletter and website, and a public inquiry phone line.

During an actual emergency, public information officers from a number of entities including other state agencies and volunteer organizations are available at the Emergency Operations Center and other locations to provide emergency public information. The Connecticut Television Network (CT-N) provides broadcasting equipment and may preempt scheduled programming to provide emergency information. The public can also contact the Connecticut Infoline (2-1-1) to obtain current and accurate information about a specific event or threat. Infoline is a multilingual service that is available 24 hours and TDD accessible.

DEMHS publishes a monthly electronic newsletter covering a variety of emergency management issues and events. Although the primary audience is for emergency management professionals, it is available to the general public. DEMHS has also published special brochures regarding emergency preparedness and awareness of suspicious events. Specifically, DEMHS in a joint effort with DPH, produced a 12-page preparedness guide that has been disseminated through direct mailings, town halls, schools, fairs, and newspaper inserts to the general public. In addition, DEMHS has sponsored television commercials, newspaper ads, and radio ads in English and Spanish. Advertisements have also been placed on trains and the interior and the exterior of buses promoting the “See Something, Say Something” campaign. Further, two one-hour feature presentations, one on terrorism and another on hurricane preparedness, were aired on Connecticut Public Television in August and September 2006. The programs were pre-recorded but were followed by an hour long live discussion with a call-in number to discuss the shows.

Regional Assets

Figure 2 illustrates responder assets by town. As the map shows, there are various responder assets available statewide including:

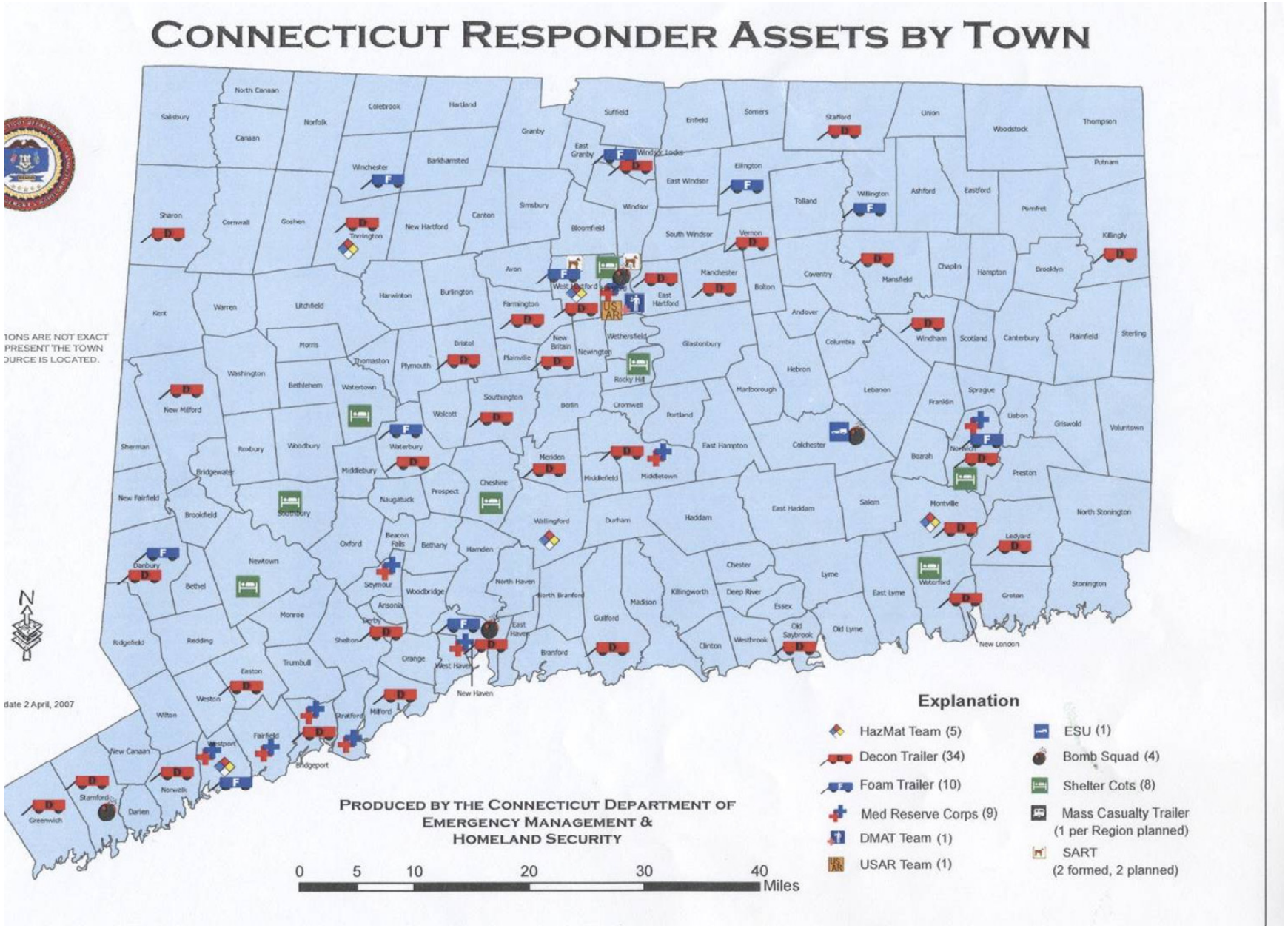
- five regional HazMat teams;
- thirty-four decontamination trailers, which also serve as radio repeater sites;
- ten foam trailers;
- nine medical reserve corps to provide medical personnel to support hospitals and triage units;
- one disaster medical assistance team to respond to mass casualty incidents;
- one Urban Search and Rescue unit staffed by the state police;
- four bomb squads and one robot capable of conducting threat assessments and render safe procedures;
- eight locations for 9,000 sheltering cots;
- one mass casualty trailer with future plans for one per region; and
- one operational State Animal Rescue Team with two others being formed and two more planned.

Equipment and other resources. Personal Protective Equipment is equipment or supplies that create a physical barrier between persons and environmental or explosive hazards. In FY 03, PPE was provided to all local police, EMS, and fire personnel who requested this equipment. According to DEMHS documents, more than 20,000 complete outfits have been provided. A stockpile of PPE will be established using FY 06 funding. Supplies will be kept at a state maintained facility. In addition to PPE, various chemical, biological, and radiological detection equipment such as metering packages have been purchased. Some issues have been raised about the need for, maintenance of, and inventory of these equipment purchases.

The state has one mobile hospital, which is fully operational and has a 100-bed capacity that can be deployed anywhere in the state. In addition, the Department of Administrative Services has state contracts for various services, equipment, and supplies with allowable use for locals available 24 hours a day.

Points of Distribution. DEMHS has provided guidance to municipalities on establishing and operating local distribution points (LDPs) in the event of a disaster. While municipalities may determine where to locate the LDPs, DEMHS is providing standard operating procedures for how to request, receive, and track FEMA-provided commodities. In addition, DEMHS has

CONNECTICUT RESPONDER ASSETS BY TOWN



designated Rentschler Field in the Greater Hartford region to serve as a state staging area for receiving and coordinating deliveries.

Universally Accessible Shelters. Another DEMHS initiative has been to ensure that locally designated emergency shelters are accessible and able to accommodate the needs of people with disabilities and senior citizens. DEMHS is encouraging municipalities to consider the special needs of these populations in developing emergency preparedness plans. This may include additional physical and/or communication accessibility such as the use of assistive devices (e.g., wheelchairs, scooters) or use of personal care attendants or service animals.

Geospatial Information System (GIS). DEMHS, along with various other state agencies, is also involved in the development of a geospatial information system (GIS). GIS allows users to produce maps, models, and other data formats to support policy and decision-making. With a GIS, all agencies can share information through databases in one location. GIS provides a mechanism to centralize and visually display critical information during an emergency. A related project is the development and use of oblique imagery, which are aerial photographs ("fly-overs") to produce high-resolution images of neighborhoods, landmarks, roads, and municipalities.

WebEOC. WebEOC is web-based, emergency operations center crisis information management software. WebEOC allows paper forms, reports, and whiteboards to be online for real-time information sharing.

Other initiatives. A subcommittee of the DEMHS coordinating council is working on a proposal for a statewide credentialing system to be used at a disaster or events involving multi-domain and multi-jurisdictional response. DEMHS is also examining the statewide generator needs in a catastrophic disaster. Local officials and hospitals have been asked to identify and assess emergency power generation in their facilities. This information will provide a database to the Army Corps of Engineers, the federal agency responsible for providing generators in a major disaster.

Appendix C. LPR&IC Survey of Chief Elected Officials

Q1. To what extent do you agree that the perspectives of municipalities are sufficiently represented in the state's planning process for federal preparedness grants?

Answer Options	Response Percent	Response Count
Strongly Agree	8.8%	8
Somewhat Agree	**47.3%**	**43**
Somewhat Disagree	25.3%	23
Strongly Disagree	13.2%	12
Don't Know	5.5%	5
	answered question	91
	skipped question	10

Q2. Compared to before 9/11/2001, would you say your municipality's capability overall for responding to a terrorist incident, involving a chemical, biological, nuclear, or explosive agent, has gotten better, is about the same, or has gotten worse?

Answer Options	Response Percent	Response Count
Gotten Better	**76.9%**	**70**
About the Same	22.0%	20
Gotten Worse	0.0%	0
Don't Know	1.1%	1
	answered question	91
	skipped question	10

Q3. How prepared do you believe your municipality would be now in responding to a terrorist incident?

Answer Options	Response Percent	Response Count
Adequately Prepared	39.6%	36
Somewhat Prepared	**56.0%**	**51**
Not Prepared	4.4%	4
	answered	91

	question	
	skipped question	10

Q4. Please rate the current effectiveness of Connecticut's Department of Emergency Management and Homeland Security in performing the following tasks:

Answer Options	Very Effective	Somewhat Effective	Somewhat Ineffective	Very Ineffective	Response Count
Providing overall direction and leadership regarding preparedness for emergencies	20	**61**	8	1	90
Providing an adequate level of funding to municipalities for emergency preparedness efforts	11	33	**37**	8	89
Disbursing promised funding in a timely manner	9	**35**	27	17	88
				answered question	90
				skipped question	11

Q5. Please provide any other comments you may have regarding the state's preparedness for emergencies and homeland security efforts.

Answer Options	Response Count
	28
answered question	28
skipped question	73

Appendix D

HISTORICAL BACKGROUND

Prior to September 11, 2001, Connecticut's primary coordinating agency for all natural and man-made disasters was the Office of Emergency Management (OEM). At this time, OEM was located within the Military Department and responsible for developing and executing the Governor's emergency response program.

OEM was also involved in the management of the Governor's Domestic Preparedness Senior Steering Council, which was chaired by the Military Department's Adjutant General. The council consisted of local, state and federal representatives who developed plans advising the governor on improvements to the state's ability to respond to all hazards. The council also provided guidance on the various federal initiatives funded by the Department of Justice.

Following the events of September 11, there were significant changes to the manner of administering preparedness plans and allocating funds. Efforts focused primarily on preparing for and responding to terrorist activity. There was an increase in the number of those involved in the decision-making process and heightened pressure on all levels of government to ensure public safety.

On the state level, the Governor and the legislature created the Connecticut Division of Homeland Security within the Department of Public Safety. The division's purpose was to identify, develop and implement strategic preventative and reactionary plans to major disasters. It also replaced OEM as the lead state agency for preparing and submitting critical threat assessments and security plans.

The director of the State Division of Homeland Security was named co-chair along with the State Adjutant General to the Steering Council. Several subgroups were formed to advise the administration on funding formulas and consult on areas such as interoperable communications and state-local relations.

In 2004, the General Assembly enacted Public Act 04-219 creating a new state agency, the Department of Emergency Management and Homeland Security (DEMHS), solely dedicated to the protection and security of Connecticut residents. By mid-summer of 2005, DEMHS was a fully staffed and self-operating agency.

The Steering Council was renamed and expanded into the DEMHS Coordinating Council with the DEMHS Commissioner as chair. The council was given broad oversight of DEMHS and provides guidance on issues such as the administration of federal funds, training and exercise, communications, and developing citizen involvement. The DEMHS Coordinating Council also approved the configuration of five emergency regions within Connecticut.

Appendix E

STATE HOMELAND SECURITY STRATEGIES

Listed below are the state homeland security strategy goals for Connecticut from 2001 through 2007. The asterisk (*) indicates which year(s) each goals was in place.

State Homeland Security Strategy Goals				
	2001	**2003**	**2006**	**2007**
1. Improve the abilities of local emergency responders and public safety personnel to identify and respond to a weapon of mass destruction (WMD) terrorism incident with priority to the nine identified "first priority jurisdictions" a) In 2003, WMD becomes a Chemical, Biological, Radiological, Nuclear, Explosive (CBRNE) incident and there is no reference to nine priority jurisdictions b) In 2006, CBRNE becomes all-hazards incident, manmade or natural	*	*	*	*
2. Improve the ability of existing regional HazMat teams to respond to a WMD incident	*			
3. Develop a mass decontamination capability with sufficient capacity to meet statewide needs	*			
4. Develop a comprehensive plan of community to community mutual aid for WMD incident response	*			
5. Improve the ability to conduct mass causality operations and victim treatment associated with a WMD terrorism incident	*			
6. Improve the ability of state agencies to carry out their responsibilities when responding to a WMD incident	*			
7. Improve the ability to request, manage, and reimburse assets from the federal government supporting the response to a WMD incident	*			
8. Improve the ability to request, manage, and reimburse assets from other states supporting the response to a WMD incident	*			
9. Develop a comprehensive WMD response contingency plan a) In 2003, WMD becomes CBRNE incident response and contingency plan	*	*	*	*
10. Establish a coordinated state-level oversight for the execution of the Connecticut Domestic Preparedness strategy	*			

11. Determine the organizational and technical requirements necessary to establish a statewide communications system that would include an emergency notification as well as tactical and operational command and control capability a) In 2003, establish a statewide communications system to include a Homeland Security Advisory System (as well as tactical and operational command and control) b) In 2006, goal becomes enhance existing statewide communications system	*	*	*	*
12. Improve critical incident management and response through a standard statewide resource program a) In 2006, improve critical incident management and response through the use of the National Incident Management System (NIMS)		*	*	*
13. Maximize utilization of all available funding through coordinated leveraging, pooling, and disbursement of budgetary resources		*	*	*
14. Enhance public safety through hardening of critical infrastructure sectors		*	*	*
15. Develop the Homeland Security Education Center into a national center of excellence and model of best practice a) In 2006, goal becomes develop a self-sustaining training program for all-hazards preparedness		*	*	*
16. Enhance capabilities to conduct proactive interdictions and investigations to prevent and mitigate terrorism incidents		*	*	*
17. Establish a comprehensive CBRNE recovery plan a) In 2006, the recovery plan becomes all hazard		*	*	*
18. Engage the general public, educational systems and private sector in all hazard prevention, planning, response , and recovery			*	*

Appendix F

NATIONAL PLANNING SCENARIOS

Listed below are the National Planning Scenarios. They describe the potential scope and magnitude of plausible major catastrophic events that require the coordination among various jurisdictions and levels of government. Guidance documents associated with the list provide detailed descriptions of attack scenarios, various planning considerations, and implications for a range of impacts such as fatalities, service disruptions, and economic impacts.

Scenario 1	Nuclear Detonation – 10-Kiloton Improvised Nuclear Device
Scenario 2	Biological Attack – Aerosol Anthrax
Scenario 3	Biological Disease Outbreak – Pandemic Influenza
Scenario 4	Biological Attack – Plague
Scenario 5	Chemical Attack – Blister Agent
Scenario 6	Chemical Attack – Toxic Industrial Chemicals
Scenario 7	Chemical Attack – Nerve Agent
Scenario 8	Chemical Attack – Chlorine Tank Explosion
Scenario 9	Natural Disaster – Major Earthquake
Scenario 10	Natural Disaster – Major Hurricane
Scenario 11	Radiological Attack – Radiological Dispersal Devices
Scenario 12	Explosives Attack – Bombing Using Improvised Explosive Devices
Scenario 13	Biological Attack – Food Contamination
Scenario 14	Biological Attack – Foreign Animal Disease (Foot and Mouth Disease)
Scenario 15	Cyber Attack
Source: DHS	

Appendix G

TARGET CAPABILITIES LIST

Listed below are the 37 target capabilities. They are organized by the four mission areas of preparedness and the four capabilities that are common to all the mission areas.

Mission Area	Capability
Common	
	•Planning
	•Communications
	•Risk Management
	•Community Preparedness and Participation
Prevent Mission Area	
	•Information Gathering & Recognition of Indicators & Warnings
	•Intelligence Analysis and Production
	•Intelligence / Information Sharing and Dissemination
	•Law Enforcement Investigation and Operations
	•CBRNE Detection
Protect Mission Area	
	•Critical Infrastructure Protection (CIP)
	•Food & Agriculture Safety & Defense
	•Epidemiological Surveillance and Investigation
	•Public Health Laboratory Testing
Respond Mission Area	
	•Onsite Incident Management
	•Emergency Operations Center Management
	•Critical Resource Logistics and Distribution
	•Volunteer Management and Donations
	•Responder Safety and Health
	•Public Safety and Security Response
	•Animal Health Emergency Support
	•Environmental Health
	•Explosive Device Response Operations
	•Firefighting Operations/Support
	•WMD/HazMat Response and Decontamination
	•Citizen Protection: Evacuation and/or In-Place Protection
	•Isolation and Quarantine
	•Urban Search & Rescue
	•Emergency Public Information and Warning
	•Triage and Pre-Hospital Treatment
	•Medical Surge
	•Medical Supplies Management and Distribution
	•Mass Prophylaxis
	•Mass Care (Sheltering, Feeding, and Related Services)
	•Fatality Management
Recover Mission Area	
	•Structural Damage and Mitigation Assessment
	•Restoration of Lifelines
	•Economic & Community Recovery

APPENDIX H-1. Goals and Objectives related to the Protection of Infrastructure					
State Homeland Security Strategy Goal and Objectives				*DEMHS Strategic Goals and Objectives*	
2003	**2006**	**2007**	**Status**	**2007**	**Status**
Goal #6: Enhance public safety through hardening of critical infrastructure sectors. 1. Compile a detailed inventory of critical assets within the state by Date X 24 + months. 2. Coordinate planning efforts between the federal, state and local jurisdictions by Date X + 24 months. 3. Develop a list of mitigating strategies to improve and harden critical assets by Date X + 24 months.	**Goal #6: Enhance public safety through hardening of critical infrastructure sectors.** 1. Compile a detailed inventory of critical assets within the state by March 2007. 2. Coordinate planning efforts between the federal, state and local jurisdictions by March 2008. 3. Develop a list of mitigating strategies to improve and harden critical assets by March 2008. 4. Coordinate the inspection and evaluation of all General Aviation airports in the state. 5. Develop Cyber incident response capabilities and processes to the appropriate level by March 2007	**Goal #6: Enhance public safety through hardening of critical infrastructure sectors** 1. Compile a detailed inventory of critical assets within the state by June 2007. 2. Coordinate planning efforts between the federal, state and local jurisdictions. 3. Develop a list of mitigating strategies to improve and harden critical assets by June 2008. 4. Continue to coordinate the inspection and evaluation of all General Aviation airports in the state. 5. Develop Cyber infrastructure risk assessment and remediation plan for state agencies by June 2008. 6. Develop Cyber incident response processes to the appropriate level by June 2008.	1. **Ongoing - A detailed inventory has been complied and is continually updated.** 2. **Ongoing – planning efforts are coordinated at all levels of government.** 3. **Partial - Mitigating strategies developed for each individual top 100 sites when assessments are completed. Mitigating strategies developed for 17 sites deemed critical by the federal government.** 4. **Complete – all general aviation airports have been evaluated through a TSA self-evaluation process. Note – Bradley International is not a general aviation airport and is in the process of being evaluated by CIPU.** 5. **Partial –DOIT has developed a risk assessment methodology and is conducting a risk assessment of the DOIT infrastructure. A documented report of findings will be produced with required and recommended remediation activities.** 6. **Partial - DOIT has developed a draft incident response procedure that identifies methods to communicate with the key personnel throughout state agencies and defines roles and responsibilities associated with cyber indent response procedures.**	**Goal #7: Continue the development of critical infrastructure plan for the state of Connecticut** 1. Conduct risk-based analysis of critical infrastructure for State of CT and prioritize which sites require DEMHS assessments – June 2007 2. Complete necessary background checks or security clearance – June 2007 3. Integrate risk assessments into state, regional, and local emergency operations plans – December 2007 4. Develop risk based funding formula for distribution of HS monies – April 2007 5. Use risk analysis to prioritize which sites require DEMHS assessments 6. Continue to partner with local agencies and private sector through Operation Safeguard to provide training on how to conduct risk assessments 7. Develop assessment guidelines and make available to private sector 8. Hire or designate risk intelligence analyst with federal funds embedded within CTIC	**1. Partial - The risk-based analysis of critical infrastructure is complete. Prioritization of and planning for assessments of the top 100 sites is in progress. (Similar to SHSS #'s 1 and 3)** **2. Partial – Background checks for DEMHS employees are in progress. The paperwork has been submitted to the FBI and DEMHS is waiting for a response.** **3. Partial – Regional plans are currently being developed.** **4. Completed – A risk-based formula utilizing critical infrastructure information has been developed and implemented by DEMHS.** **5. Partial – Prioritization of the top 100 assets is in progress. (Same as DEMHS # 1 above)** **6. Ongoing - Terrorism awareness classes for the public and private sector are ongoing.** **7. Not yet started.** **8. Partial – a new employment class (intelligence analyst) is being developed with DAS.**

Appendix H-2. State Homeland Security Strategy (SHSS) Goals and Objectives Related to Intelligence and Information Sharing			
2003	**2006**	**2007**	**Status**
Goal #8: Enhance capabilities to conduct proactive interdictions and investigations to prevent and mitigate terrorism incidents. 1. Conduct proactive terrorism interdictions and investigations by planning and organizing joint operations with state, local and federal agencies by Date X + 24 months. 2. Develop a Statewide information and Intelligence Center to collect, analyze and disseminate information pertaining to terrorist activities to all state and local law enforcement by Date X + 24 months.	**Goal #8: Enhance capabilities to conduct proactive interdictions and investigations to prevent and mitigate terrorism incidents.** 1. Conduct proactive terrorism interdictions and investigations by planning and organizing joint operations with state, local and federal agencies. 2. Enhance a Statewide information and Intelligence Center to collect, analyze and disseminate information pertaining to terrorist activities to all state and local law enforcement.	**Goal #8: Enhance capabilities to conduct proactive interdictions and investigations to prevent and mitigate terrorism incidents.** 1. Conduct proactive terrorism interdictions and investigations by planning and organizing joint operations with state, local and federal agencies. 2. Expand CTIC to a fully functioning fusion center to collect, analyze and disseminate information pertaining to terrorist activities to all state and local law enforcement. 3. Comply with the Federal REAL ID Act to standardize the requirements and procedures for State-issued driver's licenses and identification cards.	1. **Ongoing – CTIC, in conjunction with other law enforcement and intelligence agencies including the FBI, continue to identify and address terrorist threats and activities.** 2. **Ongoing – CTIC has most of the components of a fully functioning fusion center. Certain aspects such as partnerships with multi-disciplines (fire, health, medical) are evolving.** 3. **Not yet started.**

Appendix H-3. DEMHS Internal Goals and Objectives Related to Intelligence and Information Sharing	
DEMHS Strategic Goals and Objectives	**Status**
Goal #5: Develop and maintain agency response, protection and intelligence capabilities 1. CTIC will develop and promulgate standards and security protocols for intelligence information 2. Maintain a domestic and international terrorism investigation unit (JTTF) 3. Expand use of HSIN in various fields of first responders 4. Establish a State of Connecticut 24-hour HLS Watch Desk to serve as a single point of contact for state assets that will monitor intentional and state incidents.	**1. Completed – Standards and security protocols for intelligence information have been developed and adopted.** **2. Ongoing - JTTF continues to operate both a domestic and international unit.** **3. Ongoing – Homeland Security Information Network (HSIN) is operational and has been made available to various first responder groups.** **4. Partial – Currently, the Connecticut State Police provide this function through its 24 hour Message Center. DEMHS anticipates operating its own 24 hour watch desk as part of the relocation of CTIC to Hartford headquarters.**

Appendix H-4. CTIC Policy Board Goals Related to Intelligence and Information Sharing	
CTIC Goals	**Status**
1. Contact all law enforcement agencies in Connecticut and identify an Intelligence Liaison Officer (ILO) and an alternate to represent each department.	**1. Completed – ILOs have been identified and assigned in all law enforcement agencies.**
2. Designate a Regional Intelligence Liaison Officer (RILO) to represent each of the five regions of the Connecticut Police Chiefs Association, the Connecticut State Police, Department of Correction, the FBI, and the United States Coast Guard.	**2. Completed – Each DEMHS region has a designated RILO.**
3. Strengthen liaison and communication with law enforcement agencies in Connecticut for effective intelligence sharing.	**3. Ongoing – Various efforts made to maintain and enhance communications with law enforcement agencies including publishing weekly bulletins along with other products and holding conferences.**
4. Identify individuals, communities based entities and businesses that will be useful as information sources to contribute to intelligence networking.	**4. Ongoing – CTIC has established relationships with a wide range of organizations including DHS, FBI, private sector (Infraguard), as well as others to generate intel.**
5. Establish a RISS node with NESPIN as the central platform for secure and timely information collection, analysis and dissemination throughout the state and nation.	**5. Partial – Implementation is under discussion Connecticut State Police. Further progress may develop when CTIC relocates to Hartford headquarters.**
6. Establish method to exchange intelligence nationally.	**6. Partial – Work is underway to ensure connectivity with the Homeland Security Information Network (HSIN) and the Homeland Security Database Network (HSDN –classified).**
7. Establish a method for analysts from participating organizations to share and exchange intelligence products and minimize duplication.	**7. Ongoing – Currently, teleconferences with other national organizations occur on a bi-weekly basis.**
8. Begin active collection, integration, evaluation, analysis, dissemination of intelligence with emphasis on detection, prevention of criminal, gang or terrorist activity.	**8. Ongoing – CTIC continues to be involved in the collection, analysis and dissemination of intelligence.**

Appendix H-5. State Homeland Security Strategy (SHSS) Goals and Objectives Related to Communications			
2003	**2006**	**2007**	**Status**
Goal #5: Establish a statewide communications system to include a Homeland Security Advisory System as well as tactical and operational command and control capability. 1. Deploy a statewide emergency telecommunications infrastructure and emergency notification system (ENS) by Date X + 24 months. 2. Disseminate information regarding terrorist threats and attacks to state and local authorities to include 911 dispatch centers via web access by Date X + 24 months. 3. Establish an immediate e-alert system to notify all emergency personnel of any change in the threat pertinent information and or imminent terrorist threats by Date X + 24 months. 4. Enhance the DPS/DHS to include web alerts and terrorist related information by Date X + 24 months.	**Goal #5: Enhance the existing statewide communications systems.** 1. Enhance a statewide emergency telecommunications infrastructure and Emergency Notification System (ENS) by March 2007. 2. Disseminate information regarding terrorist threats and attacks to state and local authorities via e-mail by March 2007. 3. Establish an immediate e-alert system to notify private sector stakeholders of any change, specific to their sector, in the threat level, pertinent information and or imminent terrorist threats by March 2007.	**Goal # 5: Enhance the existing statewide communications systems.** 1. Enhance a statewide emergency telecommunications infrastructure and Emergency Notification System (ENS) by June 2010. 2. Disseminate information regarding terrorist threats and attacks to state and local authorities via e-mail by March 2008. 3. Establish an immediate e-alert system to notify private sector stakeholders of any change, specific to their sector, in the threat level, pertinent information and or imminent terrorist threats by March 2008. 4. Prepare Tactical Interoperable Communications (TIC) Plan for the 5 DEMHS Emergency Preparedness Planning Regions by January 2008.	**10. Ongoing - The state continues to enhance the statewide emergency telecommunications infrastructure and emergency notification system.** **11. Partial - The mechanism to disseminate information regarding terrorist threats and attacks to state and local authorities via e-mail is anticipated by March 2008. The dissemination of information that has a law enforcement purpose is handled by intelligence bulletins and is distributed via the Homeland Security Information Network.** **12. Partial - An e-alert system to notify private sector stakeholders of any change, specific to their sector, is expected by March 2008. Information distributed to the private sector is pushed out via Infragard, which is provided by FBI.** **13. Partial - A Tactical Interoperable Communications plan has been completed for DEMHS Region 1. TIC plans for the remaining four DEMHS regions are currently being developed.**

Appendix H-6. DEMHS Internal Goal and Objectives for Communications	
2007	**Status**
Goal #9: Continue to enhance and sustain statewide interoperable communication capabilities 1. Revise and update statewide interoperable communications plan. 2. Develop, test, and maintain an Emergency Notification System for local EMDs, DEMHS staff and key stakeholders. 3. Coordinate a testing system with DPS for the ITAC/ICALL system. 4. Maintain and test high-band radio system statewide on a monthly basis. 5. Continue weekly testing of Emergency Broadcast System.	**1. Ongoing - A Statewide Interoperable Communications Plan (SCIP) has been drafted. Although a final plan is expected in December 2007, the plan is considered a living document that will be reassessed and updated on an annual basis.** **2. Ongoing - An emergency notification system for local emergency management directors, DEMHS staff and key stakeholders has been developed and tested. Locals will be permitted to pursue this at their level.** **3. Partial - DEMHS and DPS have coordinated a testing system for the ITAC/ICALL system.** **4. Ongoing - A high-band radio system is being maintained and tested statewide on a monthly basis.** 5. **Ongoing - The Emergency Broadcast System continues to be tested on a weekly basis.**

Appendix I

CTIC PRODUCTS AND SERVICES

There are a number of intelligence products and services provided by CTIC. Although first conceived as a centralized resource for collecting, analyzing and disseminating intelligence, CTIC has expanded its role and allows staff to be deployed to field operations to provide on-scene analytical support when requested. Other products and services are listed below.

- *Informational Message* - An informational summary or a request for information on a particular event or topic. It is not considered intelligence to be immediately acted on. In the last year, CTIC has issued 17 informational messages.

- *Intelligence Bulletin* - A situational report containing information of a specific crime, organization, threat, or event for immediate dissemination.

- *Weekly Intelligence Briefing* - An informational bulletin produced every Thursday that reports on a wide array of criminal activities, identities of released inmates, fugitives, threats and trends from Connecticut and bordering locales. CTIC has issued 143 weekly intelligence bulletins and intelligence bulletins over the last year.

- *Intelligence Assessment* – An in-depth report of an emerging threat, group, or crime. CTIC has issued seven intelligence assessments and weekly intelligence briefings in the last year.

- *Intelligence Information Report* – Federal intelligence report that provides a brief summary of raw intelligence. Approximately 500 have been issued since the creation of CTIC in 2005.

- *Operations Center Information Bulletin* – A report containing specific information pertaining to the CTIC command post operation or incident covered. Seventeen have been issued in the last year.

- *Law Enforcement On-Line Virtual Command Center (VCC)* - An information sharing and crisis management tool. The VCC allows the law enforcement community to use a federally-sponsored secure computer network at local and remote sites as an electronic command center to submit and view information and intelligence. The VCC has been deployed for 17 events, like UConn's spring weekend, in the last year.

- *Threat Assessment* – A report that evaluates any security concerns surrounding a particular event, such as a visit to Connecticut by a well-know or controversial figure. CTIC has produced seven threat assessments over the last year.

- *Joint FBI/CTIC products* – Reports produced by CTIC and the FBI's Field Intelligence Group (FIG) regarding potential criminal or terrorist groups in Connecticut. There have been 10 of these reports produced in the last year.

- *After Action Reports* – Evaluation of certain activities during an event in which CTIC participated. Opportunities for improvement are noted. Within the last year, CTIC produced five of these reports.

APPENDIX J

Connecticut Intelligence Center

Success Stories
Updated
November 9, 2007

(U) Since the inception of the Connecticut Intelligence Center (CTIC) in July 2005, Weekly Intelligence Bulletins, Intelligence Bulletins and Informational Messages have been distributed to the ever growing distribution lists. These distribution lists are compromised of tribal, local, state, and federal partners as well as private sector partners where applicable.

(U) The effect and benefit of the strategic and tactical intelligence products can not be accurately quantified without feedback from our law enforcements partners.

(U) The CTIC has compiled cases/incidents in which the information sharing has resulted in positive outcomes.

(U) The creation of the CTIC has resulted in an information bridge between police departments within the state of Connecticut:

- In 2006 a western Connecticut Police Department took a missing persons complaint for a fifteen year old female. The juvenile female had been in the company of a known adult male located in central Connecticut. In 2007 a detective from a northern Connecticut Police Department was assigned to the missing person investigation, fearing the possibility of a homicide. The detective contacted CTIC and a Request for Information (RFI) bulletin was disseminated to the CT Law Enforcement community seeking information about the missing female's disappearance along with any information relating to the suspect and his friends. As a result of this RFI an officer in a central Connecticut town reviewed the CTIC Bulletin and made contact with the northern Connecticut Detective. The two agencies shared information on the suspect which resulted in the western Connecticut police department obtaining a search warrant for the suspect's residence. Nearly a year after being reported missing, the central Connecticut Police Department executed their search warrant at the suspect's residence and located the missing female alive. The suspect and two accomplices were charged with unlawful restraint, reckless endangerment and risk of injury to a minor and custodial interference.

(U) Additionally, the CTIC has established a partnership with local police departments and the departments within neighboring states:

- In 2006, a suspect in a Connecticut State Police (CSP) investigation fled the State of Connecticut. Database checks and coordination with New York Police Intelligence Division resulted in CSP/NYPD and US Marshal Service in executing a search warrant at the suspect's relative's home and the suspect's apprehension.

(U) The CTIC provides a vehicle for information sharing between state/ local police departments and Federal law enforcement:

- In March 2007 information from a southern US FBI office regarding a serial bank robbery suspect from New Orleans area, who had ties to the New London area, was gathered and given to two southeast Connecticut Police Departments. The suspect from New Orleans was positively identified by both departments. Warrants by both agencies were obtained for the suspect.

(U) The CTIC provides criminal intelligence analysis in order to identify patterns, trends and relationships between what may appear to be isolated crimes:

- In April 2007 the Eastern District Major Crime Squad requested assistance with suspects involved in a series of bank robberies in the central and eastern Connecticut area. A CTIC bulletin was distributed and analysis of the robbery pattern was supplied to law enforcement partners. The task force conducted surveillances of financial institutions based on the robbery pattern which resulted in apprehension of two suspects who were en route to commit a robbery.

(U) The CTIC facilitates information sharing sessions, taskforces and working groups with the purpose of identifying serial crimes:

- Between March 2005 to July 2006, police departments in Connecticut and New York had been investigating a total of thirty of thefts of GPS units from vehicles and diagnostic computers from car dealerships. These thefts were occurring from Westchester County, New York to Waterbury, Connecticut. CTIC Fairfield and Western RILOS disseminated Intelligence Bulletins and organized intelligence meetings for agencies affected by these thefts. CTIC disseminated information obtained by a south central Police Department that resulted in arrests in central Connecticut.

(U) The CTIC provides criminal and national security intelligence prior to special events for the purpose of pre-operational planning:

- In September 2007, intelligence was received regarding a Hells Angels motorcycle run event occurring in southwest Connecticut. A CTIC Intelligence bulletin was disseminated along with notification to the local Police Departments. The intelligence enabled the southwest Police Department to better prepare for the event and thwart any possible outbreak of violence or criminal activity prior to their occurrence.

(U) The CTIC facilitates interstate information sharing:

- In September 2007 the CTIC received information that a 15 year old female run away was coming to central Connecticut from the Midwest US. The family was contacted and they informed CTIC that a credit card charge showed that she was catching a bus to south central Connecticut. CTIC Central RILO was able to track the runaway's travels, and was waiting for her at the bus station. She was

subsequently transported to a Connecticut airport, escorted on the airplane and returned to her home in the Midwest US.

(U) The CTIC provides operational support and coordination for raids, take-downs, and other large scale multi-agency special events:

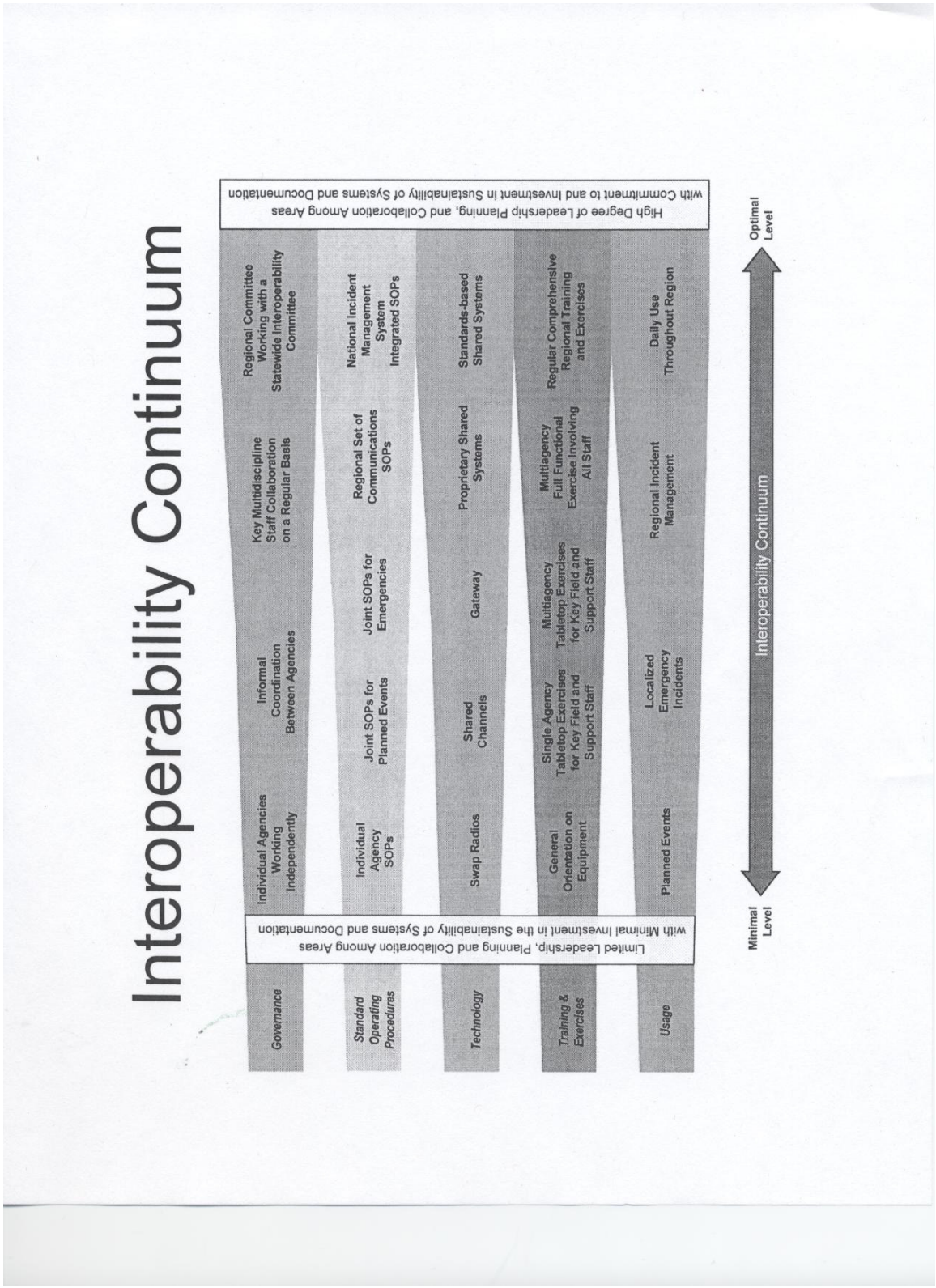
- The CTIC has assisted our LE Partners with the operation of the Virtual Command Center (VCC). The VCC has been utilized on a number of operations. Two of the significant operations which have been recognized by FBI HQ as "Best Practices" were the VCC operations for the Hells Angels Funeral and Memorial of Roger "Bear" Mariani" and FBI New Haven Division's "Operation Crown Royal". The VCC for these two operations provided both decision-makers and investigators in the field real-time tactical intelligence. Based on the VCC's used, other law enforcement agencies have requested VCC assistance in on-going cases, special events and major takedowns.

(U) The CTIC has provided assistance to investigators at the local, state and federal level, as well as across state and jurisdictional lines. As a result, the CTIC facilitates information sharing and promotes an environment of collaboration and community that has resulted in the identification, arrest and conviction of criminals both within and outside Connecticut. The CTIC remains vigilant towards all-crimes and threats that pose a risk to the Connecticut community and the country as a whole.

Appendix K. Number, Development Stage, Scope, and Start Date of Fusion Centers in United States.				
STATE	**NUMBER**	**STAGE**	**SCOPE**	**START DATE**
Alabama	1	Planning	All crimes	Fall 2007
Alaska	1	Planning	All crimes & all hazards	Unknown
Arizona	1	Intermediate	All crimes	10/04
Arkansas	1	Early Development	All crimes	Winter 2007
California	3	Developed (2) Intermediate (1)	All crimes & counterterrorism(3)	11/04, 12/05, 7/06
Colorado	1	Developed	All crimes & all hazards	10/04
Connecticut	1	Intermediate	All crimes	4/05
Delaware	1	Intermediate	All crimes & all hazards	12/05
Florida	1	Developed	All crimes & all hazards	1/07
Georgia	1	B/W Intermediate and Developed	All hazards & counterterrorism	10/01
Hawaii	1	Planning	All hazards	Unknown
Illinois	2	Developed (2)	All crimes (1) All crimes & counterterrorism(1)	5/03,4/07
Indiana	1	Developed	All crimes	12/06
Iowa	1	B/W Intermediate and Developed	All crimes	12/04
Kansas	1	B/W Intermediate and Developed	Counterterrorism	6/04
Kentucky	1	Developed	All crimes	12/05
Louisiana	1	Intermediate	All crimes & all hazards	10/04
Maine	1	Early Development	Counterterrorism	12/06
Maryland	1	Developed	All crimes & counterterrorism	11/03
Massachusetts	1	Intermediate	All crimes & counterterrorism	10/04
Michigan*	2	Intermediate(1) Early Development t(1)	All crimes (1) All crimes, all hazards & counterterrorism(1)	12/06 1/08
Minnesota	1	Intermediate	All crimes & all hazards	5/05
Mississippi	1	Early Development	All crimes & all hazards	9/07
Missouri	1	B/W Intermediate and Developed	All crimes & all hazards	12/05

Montana	1	Developed	All crimes	Spring 2003
Nebraska	1	Planning	All crimes, all hazards & counterterrorism	Fall 2007
Nevada	1	Planning	All crimes	Unknown
New Hampshire	1	Early Development	All crimes & all hazards	2008
New Jersey	1	Developed	All crimes & all hazards	1/05
New Mexico	1	Intermediate	All crimes, all hazards & counterterrorism	9/07
New York	3	Developed (3)	All crimes (2) All crimes & counterterrorism(1)	1995, 8/03, 3/02
North Carolina	1	Developed	Homeland security, gangs, drugs	5/06
North Dakota	1	Intermediate	All crimes, all hazards & counterterrorism	9/03
Ohio	1	Developed	All crimes & counterterrorism	1/05
Oklahoma	1	Early Development	All crimes & all hazards	Early 2008
Oregon	1	Developed	All crimes	6/07
Pennsylvania	1	Early Development	All crimes	7/03
Rhode Island	1	Intermediate	Counterterrorism	3/06
South Carolina	1	Developed	All crimes & all hazards	3/05
South Dakota	1	Intermediate	All crimes & all hazards	6/06
Tennessee	1	B/W Intermediate and Developed	All crimes	5/07
Texas	2	Intermediate (1) B/W Intermediate and Developed (1)	All crimes & all hazards (2)	7/05,2/06
Utah	1	Planning	All crimes & all hazards	Unknown
Vermont	1	Developed	All crimes	8/05
Virginia	1	Developed	All hazards & counterterrorism	2/05
Washington	1	Intermediate	All crimes, all hazards & counterterrorism	2003
Washington DC	1	Intermediate	All crimes & all hazards	Spring 2006
West Virginia	1	Planning	All crimes, all hazards & counterterrorism	Unknown
Wisconsin	2	Intermediate(1) Developed (1)	All crimes, all hazards & counterterrorism(2)	10/06, 3/06
Wyoming	1	B/W Planning & Early Development	Counterterrorism	Unknown

APPENDIX L


Interoperability Continuum
Governance
Standard Operating Procedures
Technology
Training & Exercises
Usage
Limited Leadership, Planning and Collaboration Among Areas with Minimal Investment in the Sustainability of Systems and Documentation
High Degree of Leadership Planning, and Collaboration Among Areas with Commitment to and Investment in Sustainability of Systems and Documentation
Individual Agencies Working Independently
Informal Coordination Between Agencies
Key Multidiscipline Staff Collaboration on a Regular Basis
Regional Committee Working with a Statewide Interoperability Committee
Individual Agency SOPs
Joint SOPs for Planned Events
Joint SOPs for Emergencies
Regional Set of Communications SOPs
National Incident Management System Integrated SOPs
Swap Radios
Shared Channels
Gateway
Proprietary Shared Systems
Standards-based Shared Systems
General Orientation on Equipment
Single Agency Tabletop Exercises for Key Field and Support Staff
Multiagency Tabletop Exercises for Key Field and Support Staff
Multiagency Full Functional Exercise Involving All Staff
Regular Comprehensive Regional Training and Exercises
Planned Events
Localized Emergency Incidents
Regional Incident Management
Daily Use Throughout Region
Minimal Level
Interoperability Continuum
Optimal Level

Appendix M

LIST OF CONNECTICUT ENTITIES WITH REVERSE 911

- **Bridgeport**

- **Capitol Region Council of Governments (CRCOG)**

Andover	*Avon*	*Bloomfield*	*Bolton*	
Canton	*E. Granby*	*E. Hartford*	*E. Windsor*	
Ellington	*Enfield*	*Farmington*	*Glastonbury*	
Granby	*Hartford*	*Hebron*	*Manchester*	
Marlborough	*Newington*	*Rocky Hill*	*Simsbury*	
Somers	*S. Windsor*	*Suffield*	*Tolland*	
Vernon	*W. Hartford*	*Wethersfield*	*Windsor*	*Windsor Locks*

- **Darien**
- **Fairfield**
- **Groton**
- **Guilford**
- **Madison**
- **New Milford**
- **Orange**
- **Shelton**
- **Somers**
- **Stonington**
- **Westport**
- **Wilton**
- **University of Connecticut**

APPENDIX N
DEMHS & DPS Top Concerns

STATE OF CONNECTICUT
DEPARTMENT OF EMERGENCY MANAGEMENT AND HOMELAND SECURITY

James M. Thomas
Commissioner

October 25, 2007

Attorney Carrie E. Vibert, Director
Legislative Program Review and Investigations Committee
State Capitol – Rm. 506
Hartford, CT 06106

Dear Attorney Vibert:

In accordance with the recent request of the Legislative Program Review and Investigations Committee, I am writing to provide you with three priority issues for the Department of Emergency Management and Homeland Security (DEMHS).

First, I recommend funding for the local emergency relief account, established under Conn. Gen. Stat. §7-520. Under the terms of the statute, funds from this account can be used to provide grants to municipalities to supplement the expenditure of public funds made necessary as the result of an unusual or serious condition endangering public health and welfare, as determined by the state Local Emergency Relief Advisory Committee. For example, these funds might be available to a municipality for repair of public buildings after a flood, even if the total damage county-wide does not meet the thresholds under the Stafford Act for federal relief.

Secondly, I recommend funding for the ongoing stockpiling of supplies, such as generators and water. Under Conn. Gen. Stat. §28-16, the Commissioner of DEMHS is empowered to purchase and maintain a stockpile of medical supplies, blankets, food and provisions, fuel, equipment and any other supplies which are necessary and desirable to afford relief and assistance to the people of the state in an emergency. This additional funding would enhance the state's existing efforts to prepare for a serious disaster.

Finally, I recommend funding for improvements to the five DEMHS regional offices. As you know, DEMHS has divided the state into five emergency management regions, as part of an overall regionalization initiative. These offices are critical to the state's emergency management operations, both during an actual emergency and prior to the emergency, for the purpose of emergency planning and preparedness.

I thank you for the opportunity to share these issues with you and look forward to working with you to enhance the safety and security of Connecticut's citizens.

Sincerely,

James M. Thomas
Commissioner

JMT/dja
cc: Mr. Scott DeVico, DEMHS Legislative Liaison

RECEIVED
OCT 12 2007
LEGISLATIVE PROGRAM REVIEW
AND INVESTIGATIONS COMMITTEE

STATE OF CONNECTICUT

DEPARTMENT OF PUBLIC SAFETY
DIVISION OF SCIENTIFIC SERVICES

STATE POLICE

DEPARTMENT OF PUBLIC SAFETY
OFFICE OF THE COMMISSIONER

John A. Danaher III
Commissioner

Lieutenant Edwin S. Henion
Chief of Staff

October 10, 2007

The Honorable Carrie E. Vibert
Director
Legislative Program Review and Investigations Committee
Legislative Office Building
Hartford, CT 06106

Dear Director Vibert:

When I appeared before your Committee on September 19, 2007, there was a recommendation that I submit concrete proposals to be made to the Legislative Program Review and Investigations Committee that would assist us in our anti-terrorism efforts. I have reviewed this issue with relevant members of the Department's command staff, and I would like to take this opportunity to make that submission to the Committee.

Enclosed with this letter is an October 2, 2007, memorandum from Colonel Thomas Davoren, Deputy Commissioner of the Department of Public Safety and Commanding Officer of the Division of State Police. The Colonel's memorandum speaks for itself, but I would like to add, briefly, some thoughts about each proposal.

We have already operated the Mass Transit Squad approach mentioned in Colonel Davoren's memorandum on a limited basis. We believe that it is an efficient and effective means of providing greatly enhanced security at mass transit locations.

Second, the Emergency Services Unit (ESU) facility that he describes is a critical facility. Our ESU equipment is located in various buildings in this state, some of which are not susceptible of maintaining the equipment in top condition. Moreover, the absence of a centralized facility results in an adverse impact on our ability to respond, as quickly as possible, to a significant event. The funding for this project is currently part of the ongoing discussion regarding the Bond Act.

Finally, the Truck Squad, if enhanced as proposed, could provide a greater measure of protection against the transportation of radiological materials through the State of Connecticut and would also be of value in detecting the transportation of unauthorized explosive materials through the State of Connecticut.

In summary, I believe that these three proposals, if put into practice, would greatly enhance our anti-terrorism effort. If you have any question with regard to these proposals, I would be pleased to answer them.

Very truly yours,

John A. Danaher III
COMMISSIONER

CC: Commissioner James Thomas

1111 Country Club Road, Middletown, CT 06457
Phone: (860) 685-8000 / Fax: (860) 685-8354

STATE OF CONNECTICUT

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DEPARTMENT OF PUBLIC SAFETY
DIVISION OF STATE POLICE

Colonel Thomas Davoren
Commanding Officer

October 2, 2007

Lieutenant William R. Podgorski
Chief of Staff

TO: Commissioner John A Danaher III
Department of Public Safety

FROM: Col. Thomas Davoren, Commanding Officer
Division of State Police

SUBJECT: Long Range Anti-Terrorism Proposal

****

Sir,

In response to your request for the three top priorities of the Division of State Police to combat terrorism and ensure the safety of Connecticut citizens I offer the following long term proposals:

Mass Transit Squad:

This proposal would allow the State Police to better respond on a proactive basis to possible bombing risks. An increase in the number of canine detection teams would allow the agency to conduct more frequent, unscheduled sweeps of various mass transit locations within the state. These sweeps would be of rail, bus, and ferry services. Other identified key assets could be included in this program.

To accomplish this task, we suggest adding 12 bomb dog teams to our existing contingent. A unit consisting of 24 troopers and a supervisor would comprise the unit. Operations with these new teams would also use existing bomb technicians from around the state. With additional resources there would be no negative impact on current Emergency Services Unit operations. The estimated cost of this project to fund above our statutory authorized staffing level of 1249 troopers is approximately $1,728,760.

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Emergency Services Unit (ESU) Facility

Construction of a new ESU/Canine facility located in Cheshire. Currently there is a proposal to complete phase II and III of this project. The bonding request is 9.7 million dollars to complete this project. This proposal would centralize ESU assets to respond to all areas of the state more efficiently and to provide a training facility to train and house current and added canine teams. Connecticut currently trains all canine teams from New England and has trained teams from around the world. Currently, some canines are housed in jail cells that were part of a reform school in Meriden. This facility would also centralize training locations that can be used for homeland security issues, such as Urban Search and Rescue (USAR) and would serve or a center for regional training.

Expansion of Truck Squad

The addition of eight Troopers specifically assigned to commercial vehicle inspection (i.e. a full-time Truck *Inspection* Squad) would allow *Motor Carrier Safety Assistance Program* (MCSAP) inspections to be conducted on a full-time, everyday basis as opposed to the manner in which current staffing levels permit. The truck inspection squads are equipped with *Personal Radiological Detectors* (PRDs) detection devices and, of course, have arrest powers. The addition of eight Troopers would result in approximately 4,500 additional truck inspections per calendar year. This contrasts significantly with the approximately 2,000 truck inspections that CSP personnel conducted in the last year, which included inspections by the Traffic Safety Unit and other field commands. The 4,500 inspections would represent an approximate 200% increase over current annual inspection totals. Deployment of these personnel would permit these inspections to occur statewide with emphasis on secondary roadways and would be separate and distinct from continuing Weigh Station operations.

Fiscal Impact: The fiscal impact associated with the hiring of 8 troopers (if additional agency positions were authorized beyond the 1248 statutory standard) would be approximately $560,000.

Appendix O

List of Acronyms	
AFG	Assistance to Firefighters Grant
BZPP	Buffer Zone Protection Program
CBRNE	Chemical Biological Radiological Nuclear Explosive
CCP	Citizen Corps Program
CEO	Chief Elected Official
CERT	Community Emergency Response Team
CIPU	Critical Infrastructure Protection Unit
C-SPERN	Connecticut Statewide Police Emergency Radio Network
CTIC	Connecticut Intelligence Center
CTN	Connecticut Television Network
CTTU	Counter Terrorism Training Unit
DEMHS	Department of Emergency Management and Homeland Security
DHS	Department of Homeland Security
EMAC	Emergency Assistance Compact
EMHSCC	Emergency Management and Homeland Security Coordinating Council
EMI	Emergency Management Institute
EMPG	Emergency Management Performance Grant
EOC	Emergency Operations Center
EOP	Emergency Operations Plan
ESF	Emergency Support Function
FIG	Field Intelligence Group
FLIC	Federal Liaison Intelligence Coordinator
GIS	Geospatial Information System
HSGP	Homeland Security Grant Program
HSPD	Homeland Security Presidential Directives
ICALL/ITAC	International Calling/Tactical
ICS	Incident Command System
ILOS	Intelligence Liaison Officers
IMAC	Intrastate Mutual Aid System
JAG	Justice Assistance Grant
JTTF	Joint Terrorism Task Force
KR	Key Resources
LDP	Local Distribution Point
LETPP	Law Enforcement Terrorism Prevention Program
MMRS	Metropolitan Medical Response Systems
NADB	National Asset Database

NIMS	National Incident Management System
NIPP	National Infrastructure Protection Plan
NPG	National Preparedness Goal
NRC	Nuclear Regulatory Commission
ODP	Office for Domestic Preparedness
OEM	Office of Emergency Management
OPM	Office of Policy and Management
PPE	Personal Protection Equipment
PSAP	Public Safety Answering Points
PSIC	Public Safety Interoperable Communications Grants
REP	Radiological Emergency Preparedness
REPT	Regional Emergency Planning Teams
RILOS	Regional Intelligence Liaison Officers
RPO	Regional Planning Organization
SHSP	State Homeland Security Program
SHSS	State Homeland Security Strategy
SLIC	State Liaison Intelligence Coordinator
SSC	Senior Steering Council
STOCS	Statewide Tactical On-scene Communications System
TCL	Target Capabilities List
TIC	Tactical Interoperable Communications
UASI	Urban Area Security Initiative
UHF	Ultra High Frequency
UTL	Universal Task List
VCC	Virtual Command Center
VHF	Very High Frequency
WMD	Weapons of Mass Destruction
WMDWG	Weapons of Mass Destruction Working Group